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Friday  
February 26, 1999

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**Part IV**

**Department of  
Housing and Urban  
Development**

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**Super Notice of Funding Availability  
(SuperNOFA) for HUD's Housing,  
Community Development and  
Empowerment Programs; Notice**

# DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4410-N-01]

## Super Notice of Funding Availability (SuperNOFA) for HUD's Housing, Community Development and Empowerment Programs

**AGENCY:** Office of the Secretary, HUD.

**ACTION:** Super Notice of Funding Availability (SuperNOFA) for HUD Grant Programs.

**SUMMARY:** This Fiscal Year 1999 Super Notice of Funding Availability (SuperNOFA) announces the availability of approximately \$2.4 billion in HUD program funds covering 32 grant categories within programs operated and administered by the following HUD offices: the Office of Community Planning and Development (CPD); the Office of Housing-Federal Housing Administration (FHA); the Office of Public and Indian Housing; Office of Policy Development and Research; the Office of Fair Housing and Equal Opportunity; and the Office of Lead Hazard Control.

The General Section of this SuperNOFA provides the application procedures and requirements that are applicable to all the programs. The Programs Section of this SuperNOFA provides a description of the specific programs for which funding is made available under this SuperNOFA and describes any additional procedures and requirements that are applicable to a specific program. Please be sure you read both the General Section and the Program Section of this SuperNOFA to ensure you respond to all the requirements for funding.

**APPLICATION DUE DATES:** *The information in this APPLICATION DUE DATES section applies to all programs that are part of this SuperNOFA.* You, the applicant, must submit a completed application to HUD no later than the application due date established for the program for which you are seeking funding. HUD will not accept for review and evaluation any applications sent by facsimile (fax).

### ADDRESSES AND APPLICATION

**SUBMISSION PROCEDURES:** *Addresses.* You, the applicant, must submit a complete application to the location identified in the Programs Section of this SuperNOFA. When submitting your application, please refer to the name of the program for which you are seeking funding.

*For Applications to HUD Headquarters.* If your application is due to HUD Headquarters, you must send to

the following address: Department of Housing and Urban Development, 451 Seventh Street, SW, Washington DC 20410 (see the Program Chart or Programs Section for Room location and additional information regarding the addresses for application submission). Please make sure that you note the room number. The correct room number is very important to ensure that your application is not misdirected.

*For Applications to HUD Field Offices.* If your application is required to be submitted to a HUD Field Office, please see the Programs Section for the exact office location for submission of your application.

*Applications Procedures. Mailed Applications.* Your application will be considered timely filed if your application is postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office on or within ten (10) days of the application due date.

*Applications Sent by Overnight/Express Mail Delivery.* If your application is sent by overnight delivery or express mail, your application will be timely filed if it is received before or on the application due date, or when you submit documentary evidence that your application was placed in transit with the overnight delivery service by no later than the application due date.

*Hand Carried Applications. Hand-carried to HUD Headquarters.* If your application is required to be submitted to HUD Headquarters, and you arrange for the application to be hand carried, hand carried applications delivered before and on the application due date must be brought to the specified location at HUD Headquarters and room number between the hours of 8:45 am to 5:15 pm, Eastern time. Applications hand carried on the application due date will be accepted in the South Lobby of the HUD Headquarters Building at the above address from 5:15 pm until 12:00 midnight, Eastern time. This deadline date is firm. Please make appropriate arrangements to arrive at the HUD Headquarters Building before 12:00 midnight on the application due date.

*Hand-carried to HUD Field Office.* If your application is required to be submitted to a HUD Field Office, your application must be delivered to the appropriate HUD Field Office in accordance with the instructions specified in the Programs Section of the SuperNOFA. A hand carried application will be accepted at the specified HUD Field Office during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 p.m.

local time. (Please see Appendix A to this SuperNOFA listing the hours of operations for the HUD Field Offices.) Please be sure to arrive at the HUD Field Office with adequate time to submit the application before the 6:00 pm deadline by the application due date.

### COPIES OF APPLICATIONS TO HUD OFFICES:

The Programs Section of this SuperNOFA may specify that to facilitate the processing and review of your application, a copy of the application also must be sent to an additional HUD location (for example, a copy to the HUD Field Office if the original application is to be submitted to HUD Headquarters, or a copy to HUD Headquarters, if the original application is to be submitted to a HUD Field Office). Please follow the directions of the Programs Section to ensure that you submit your application to the proper location. For some programs, HUD requests additional copies in order to expeditiously review your application, and to ensure that all reviewers receive complete applications to review. HUD appreciates your assistance in providing the copies. Please note that for those applications for which copies are to be submitted to the Field Offices and HUD Headquarters, timeliness of submission will be based on the time your application is received at HUD Headquarters.

**FOR APPLICATION KITS, FURTHER INFORMATION AND TECHNICAL ASSISTANCE:** The information in this section is applicable to all programs that are part of this SuperNOFA.

*For Application Kits and SuperNOFA User Guide.* HUD is pleased to provide you with the 1999 application kits and/or a guidebook to all HUD programs that are part of this SuperNOFA. These application kits are designed to guide you through the application process and ensure that your application addresses all requirements for the program funding you are seeking. *Please note that if there is a discrepancy between information provided in the application kit and the information provided in the published SuperNOFA, the information in the published SuperNOFA prevails.* Therefore, please be sure to review your application submission against the requirements in the SuperNOFA. When requesting an application kit, please refer to the name of the program of the application kit you are interested in receiving. Please be sure to provide your name, address (including zip code), and telephone number (including area code). To ensure sufficient time to prepare your application, requests for application kits should be made immediately.

The SuperNOFA Information Center (1-800-HUD-8929) can provide you with assistance, application kits, and guidance in determining which HUD Office(s) should receive a copy of your application. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. Additionally, you can obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov>.

#### *Consolidated Application*

**Submissions.** If you, the applicant, would like to apply for funding under more than one program in this SuperNOFA, you need only submit one originally signed SF-424 and one set of original signatures for the other standard assurances and certifications, accompanied by the matrix that is provided in each application kit. As long as you submit one originally signed set of these documents with an application, you need only submit copies of these documents with any additional application you submit. Your application should identify the program for which you have submitted the original signatures for the standard assurances and certifications. Additionally, the Programs Section may specify additional forms, certifications, assurances, or other information that may be required for a particular program in this SuperNOFA.

**For Further Information.** For answers to your questions about this SuperNOFA, you have several options. You may call, during business hours, the SuperNOFA Information Center at 1-800-HUD-8929, or you may contact the HUD Office or Processing Center serving your area at the telephone number listed in the application kit for the program in which you are interested. If you are a person with a hearing or speech impairment you may call the Center's TTY number at 1-800-HUD-2209. You may also obtain information on this SuperNOFA and application kits for this SuperNOFA through the HUD web site on the Internet at <http://www.hud.gov>.

**For Technical Assistance.** Before the application due date, HUD staff will be available to provide you with general guidance and technical assistance about this SuperNOFA. HUD staff, however, are not permitted to assist in preparing the application. Following selection of applicants, but before awards are made, HUD staff are available to assist in clarifying or confirming information that is a prerequisite to the offer of an award or Annual Contributions Contract (ACC) by HUD.

#### *Hud's Fiscal Year 1999 SuperNOFA Process*

**Background:** the Introduction of the SuperNOFA—the FY 98 SuperNOFA

In Fiscal Year 1998, HUD introduced its first SuperNOFA. HUD's FY 1998 SuperNOFA represented a marked departure from, and HUD believes a significant improvement over, HUD's past approach to the funding process. Before the FY 1998 SuperNOFA, HUD had issued as many as 40 separate NOFAs. These 40 NOFAs had widely varying rules and application processing requirements, and were published at various times throughout the fiscal year. This individual program approach to funding, with different publication schedules, did not encourage and, at times, unintentionally interfered with local efforts directed at comprehensive planning as well as development of comprehensive local solutions. Additionally, the old approach seemed to require communities to respond to HUD's needs instead of HUD responding to local needs.

In his first year as Secretary of HUD, Secretary Andrew Cuomo immediately sought to change this outdated approach to funding. Secretary Cuomo brought to the leadership of HUD the experience of successfully implementing a consolidated planning process in HUD's community development programs. As Assistant Secretary for Community Planning and Development, Secretary Cuomo consolidated the planning, application, and reporting requirements of several community development programs. The Consolidated Plan rule, published in 1995, established a renewed partnership among HUD, State, and local governments, public and private agencies, tribal governments, and the general citizenry by empowering field staff to work with other entities in fashioning creative solutions to community problems.

HUD's FY 1998 SuperNOFA promoted HUD's objective, under the direction of Secretary Cuomo, of improving customer service and providing the necessary tools for revitalizing communities and improving the lives of people within those communities. The SuperNOFA increased the ability of applicants to consider and apply for funding under a wide variety of HUD programs in response to a single NOFA. In addition to applicants, HUD believes that everyone interested in HUD's grant programs can benefit from having this information made available in one document, and that having the information on available funding one

time will facilitate local planning and coordination.

#### *Changes Made in the SuperNOFA Process for FY 1999*

**One SuperNOFA.** For Fiscal Year 1999, HUD is taking the next step of improving its funding process by issuing one single SuperNOFA. In FY 1998, HUD issued three SuperNOFAs:

- (1) The SuperNOFA for HUD's Housing and Community Development Programs;
- (2) The SuperNOFA for HUD's Economic Development and Empowerment Programs; and
- (3) The SuperNOFA for HUD's Targeted Housing and Homeless Assistance Programs.

HUD's FY 1999 SuperNOFA consolidates the programs in these three SuperNOFAs into one SuperNOFA—the SuperNOFA for HUD's Housing, Community Development and Empowerment Programs. The housing component of this SuperNOFA encompasses many of HUD's housing programs, including targeted housing and homeless assistance. The community development component of this SuperNOFA encompasses HUD's economic development programs, and the empowerment component encompasses HUD's youthbuild and self-help programs.

**Plain Language.** In addition to increased consolidation, HUD strived to make the FY 1999 SuperNOFA simpler and easier to understand. On June 1, 1998, President Clinton issued a memorandum to all Federal agencies that directs agencies to use plain language in all of their documents. HUD prepared its FY 1999 SuperNOFA to comply with the plain language principles. These principles include using common, everyday words (except for necessary technical terms), the active voice and short sentences.

**Earlier Publication and More Time to Prepare Applications.** Finally, HUD is publishing its SuperNOFA earlier than in FY 1998. By publishing earlier in the Federal Fiscal Year, HUD can provide you, the applicant, more time to prepare and submit your SuperNOFA application(s).

**Program Changes to Note:** (1) **HOPWA-TA.** This year technical assistance under the Housing Opportunities for Persons with AIDS (HOPWA) has been consolidated into the Community Development Technical Assistance (CD-TA) Program section of the SuperNOFA. If you are interested in applying for this program, please see the CD-TA Program section.

(2) **Youth Sports Program.** This year, youth sports activities are eligible under

the PIH Drug Elimination Grant Program.

(3) *Possible Formula Funding for Public Housing Drug Elimination Program.* On February 18, 1999, HUD published in the **Federal Register** an Advance Notice of Proposed Rulemaking (ANPR) announcing HUD's intention to develop, through proposed rulemaking, a formula allocation funding for HUD's Public Housing Drug Elimination Program. The February 18, 1999 ANPR solicits comments in advance of this rulemaking on a method, components of a method, or methods that would result in reliable and equitable funding to public housing agencies with drug elimination programs and ensure that this funding is allocated to agencies meeting certain performance standards. If this rulemaking is completed before the application due date for the Public Housing Drug Elimination grants, HUD will publish a notice in the **Federal Register** advising the public of the withdrawal of the Public Housing Drug Elimination Program sections of this SuperNOFA, and advising that funds will be allocated through a formula.

#### *Similarities Between FY 1998 and FY 1999 SuperNOFAs*

The FY 1999 SuperNOFA, like the FY 1998 SuperNOFA, places heavy emphasis on the coordination of activities to provide:

- (1) Greater flexibility and responsiveness in meeting local housing and community development needs, and
- (2) Greater flexibility to applicants to determine what HUD program resources best fit the community's needs, as identified in local Consolidated Plans and Analysis of Impediments to Fair Housing Choice ("Analysis of Impediments" (AI)).

The FY 1999 SuperNOFA is designed to:

- Simplify the application process;
- Promote effective and coordinated use of program funds in communities;

- Reduce duplication in the delivery of services and economic development and empowerment programs;

- Allow applicants to seek to deliver a wider, more integrated array of services; and

- Improve the system for potential grantees to be aware of, and compete for program funds.

Once again, HUD strongly encourages applicants to work together to coordinate and, to the maximum extent possible, join their activities to form a seamless and comprehensive program of assistance to meet identified needs in their communities. This coordination also should help applicants jointly address barriers to fair housing and equal opportunity that have been identified in the community's Consolidated Plan and Analysis of Impediments in the geographic area(s) in which they are seeking assistance.

As part of the simplification of this funding process, and to avoid duplication of effort, the SuperNOFA provides for consolidated applications for several of the programs that are part of this SuperNOFA. HUD programs that provide assistance for, or complement, similar activities (for example, the Continuum of Care programs and CPD Technical Assistance programs) have a consolidated application that reduces the administrative and paperwork burden applicants would otherwise encounter in submitting a separate application for each program. The Program Chart in this introductory section of the SuperNOFA identifies the programs that have been consolidated and for which a consolidated application is made available to eligible applicants. *Eligible applicants are able, as they have been in the past, to apply for funding under as few as one or as many as all programs for which they are eligible.*

The specific statutory and regulatory requirements of the programs that are part of this SuperNOFA continue to apply to each program. The SuperNOFA

will identify, where necessary, the statutory requirements and differences applicable to the specific programs. *Please pay careful attention to the individual program requirements that are identified for each program. Also, you will note that not all applicants are eligible to receive assistance under all programs identified in this SuperNOFA.*

The SuperNOFA is divided into two major sections. The General Section of the SuperNOFA describes the procedures and requirements that are applicable to all applications. The Programs Section of the SuperNOFA describes each program that is part of this SuperNOFA. For each program, the Programs Section describes the eligible applicants, eligible activities, factors for award, and any additional requirements or limitations that apply to the program.

Please read carefully both the General Section and the Programs Section of the SuperNOFA for the program(s) to which you are applying. Your careful reading will ensure that you apply for program funding for which your organization is eligible to receive funds and you fulfill all the requirements for that program(s).

#### **The Programs of This SuperNOFA and the Amount of Funds Allocated**

The programs that are part of this SuperNOFA are identified in the chart below. The approximate available funds for each program are expected funding levels based on appropriated funds. In the event HUD recaptures funds or other funds become available for any program, HUD reserves the right to increase the available program funding amounts by the amount available.

The chart also includes the application due date for each program, the OMB approval number for the information collection requirements contained in the specific program, and the Catalog of Federal Domestic Assistance (CFDA) number.

BILLING CODE 4210-32-P

**HUD FY 1999 SUPERNOFA FUNDING**

<b>Program Name</b>	<b>Funding Available (approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
<b><i>HOUSING AND COMMUNITY DEVELOPMENT</i></b>			
<b>Community Development Technical Assistance</b>	<b>\$ 24.25 million</b>		
Community Development Block Grant (CDBG) TA  CFDA No: 14.227 OMB Approval No.:2506-0166	\$ 2.5 million	May 26, 1999	HUD Headquarters Room 7251, and copies to appropriate local HUD Field Offices
Community Housing Development Organization (CHDO) TA  CFDA No. 14.239 OMB Approval No.:2506-0166	\$ 9 million	May 26, 1999	HUD Headquarters Room 7251, and copies to appropriate local HUD Field Offices
HOME TA  CFDA No. 14.239 OMB Approval No.:2506-0166	\$ 8 million	May 26, 1999	HUD Headquarters Room 7251, and copies to appropriate local HUD Field Offices
Supportive Housing Program (SHP) TA  CFDA No. 14.235 OMB Approval No.:2506-0166	\$ 2.5 million	May 26, 1999	HUD Headquarters Room 7251, and copies to appropriate local HUD Field Offices
HOPWA TA  CFDA No. 14.241 OMB Approval No.:2506-0133	\$ 2.25 million	May 26, 1999	HUD Headquarters Room 7251

<b>Program Name</b>	<b>Funding Available (approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
<b><i>UNIVERSITY AND COLLEGE PARTNERSHIPS</i></b>			
<b>University and College Programs</b>	<b>\$ 16.5 million</b>		
Community Outreach Partnership Centers (COPC)  CFDA No: 14511 OMB Approval No.:2528-0180	\$ 7.5 million	June 9, 1999	HUD Headquarters Room 7251
Historically Black Colleges and Universities (HBCUs) Program  CFDA No.: 14.237 OMB Approval No.: 2506-0122	\$ 9 million	June 9, 1999	HUD Headquarters Room 7251 and copies to local HUD Field Office
Hispanic-Serving Institutions Assisting Communities (HSIAC) Program  CFDA No.: 14.514 OMB Approval No.:2528-0198	\$ 5.65 million	June 9, 1999	HUD Headquarters Room 7251
<b><i>FAIR HOUSING OUTREACH, ENFORCEMENT AND ASSISTED HOUSING COUNSELING</i></b>			
<b>Fair Housing and Housing Counseling Programs</b>	<b>\$ 31.6 million</b>		
Education and Outreach Initiative (EOI)  CFDA No.: 14.409 OMB Approval No.: 2529-0033	\$ 4.5 million	April 27, 1999	HUD Headquarters Room 5234
Private Enforcement Initiative (PEI)  CFDA No.: 14.410 OMB Approval No.: 2539-0033	\$ 9.3 million	April 27, 1999	HUD Headquarters Room 5234
Fair Housing Organizations Initiative (FHOI)  CFDA No.: 14.413 OMB Approval No.: 2539-0033	\$ 1.2 million	April 27, 1999	HUD Headquarters Room 5234

<b>Program Name</b>	<b>Funding Available (approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
Local Housing Counseling Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$ 5.6 million	May 25, 1999	Appropriate HUD Homeownership Center (HOC)
National, Regional, and Multi-State Intermediaries CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$ 7.5 million	May 25, 1999	HUD Headquarters Room 9166
State Housing Finance Agencies CFDA No.: 14.169 OMB Approval No.: 2502-0261	\$ 3.5 million	May 25, 1999	Appropriate HUD Homeownership Center (HOC)
<b><i>LEAD HAZARD CONTROL</i></b>			
<b>Lead-Based Paint Hazard Control Programs</b>	<b>\$ 62.5 million</b>		
Lead-Based Paint Hazard Control Program CFDA No.: 14.900 OMB Approval No.: pending	\$ 56 million	May 26, 1999	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room P3206
Research to Improve Evaluation and Control of Residential Lead-Based Paint Hazards CFDA No.: 14.900 OMB Approval No.: 2529-0011	\$ 2.5 million	May 26, 1999	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room P3206
Mold and Moisture Control in Inner City Housing CFDA No.: 14.900 OMB Approval No.: pending	\$ 4 million	May 26, 1999	Postal Service: HUD Headquarters, Office of Lead Hazard Control, Room P3206

<b>Program Name</b>	<b>Funding Available (approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
<b><i>PUBLIC AND INDIAN HOUSING REVITALIZATION AND DEMOLITION</i></b>			
<b>Revitalization and Demolition Programs</b>	<b>\$ 583 million</b>		
Hope VI Revitalization Grants  CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$ 523 million	May 27, 1999	HUD Headquarters Room 4138 and copies to appropriate local HUD Field Office
HOPE VI Demolition Grants  CFDA No.: 14.866 OMB Approval No.: 2577-0208	\$ 60 million	May 6, 1999 (first come, first serve but no later than May 6, 1999)	HUD Headquarters Room 4138 and copies to appropriate local HUD Field Office
<b><i>DRUG ELIMINATION IN PUBLIC AND ASSISTED HOUSING</i></b>			
<b>Drug Elimination Programs</b>	<b>\$ 289.30 million</b>		
Public Housing Drug Elimination Program (including Youth Sports Eligible Activities)  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$ 242.75 million	June 16, 1999	Appropriate local HUD Field Office or Area Office of Native American Programs
Public Housing Drug Elimination New Approaches (Formerly Safe Neighborhood Grant)  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$ 28.3 million	July 1, 1999	Appropriate local HUD Field Office or Area Office of Native American Programs
Public Housing Drug Elimination TA  CFDA No.: 14.854 OMB Control No.: 2577-0124	\$ 2 million	June 16, 1999	HUD Headquarters Room 4206
Drug Elimination Grants for Multifamily Low Income Housing  CFDA No.: 14.193 OMB Approval No.: 2502-0476	\$ 16.25 million	June 16, 1999	Appropriate local HUD Field Office or Area Office of Native American Programs



<b>Program Name</b>	<b>Funding Available (approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
<b><i>ECONOMIC DEVELOPMENT AND EMPOWERMENT</i></b>			
<b>Economic and Empowerment Programs</b>	<b>\$ 120 million</b>		
Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$ 35 million	June 11, 1999	HUD Headquarters Room 7251 and copy to appropriate local HUD Field Office
Brownfields Economic Development Initiative CFDA No.: 14.246 OMB Approval No.: 2506-0153	\$ 25 million	June 25, 1999	HUD Headquarters Room 7251 and copy to appropriate local HUD Field Office
Self-Help Homeownership Opportunity Program (SHOP) CFDA No.: 14.247 OMB Approval No.: N/A	\$ 20 million	April 29, 1999	HUD Headquarters Room 7251
Youthbuild CFDA No.: 14.243 OMB Approval No.: 2508-0142	\$ 40 million	April 30, 1999	HUD Headquarters Room 7251 and copy to appropriate local HUD Field Office

<b>Program Name</b>	<b>Funding Available (approximate)</b>	<b>Due Date</b>	<b>Submission Location and Room</b>
<b><i>TARGETED HOUSING AND HOMELESS ASSISTANCE</i></b>			
<b>Targeted Housing and Homeless Assistance Programs</b>	<b>\$ 12,894.27 million</b>		
Continuum of Care Homeless Assistance - Supportive Housing CFDA No.: 14.235 - Shelter Plus Care CFDA No.: 14.238 - Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) CFDA No.: 14.249 OMB Approval No.: 2506-0112	\$ 750 million	June 2, 1999	HUD Headquarters Room 7270 and copies to appropriate local HUD Field Offices
Housing Opportunities for Persons with AIDS  CFDA No.: 14.241 OMB Approval No.: 2506-0133	\$ 22.275 million	June 2, 1999	HUD Headquarters Room 7251 and copies to appropriate local HUD Field Office
Section 202 Supportive Housing for the Elderly  CFDA No.: 14.157 OMB Approval No.: 2502-0267	\$ 434.8 million	May 27, 1999	Appropriate local HUD Multifamily HUB or Multifamily Program Center
Section 811 Supportive housing for Persons with Disabilities  CFDA No.: 14.181 OMB Approval No.: 2502-0462	\$ 87.2 million	May 27, 1999	Appropriate local HUD Multifamily HUB or Multifamily Program Center

*Paperwork Reduction Act Statement.*

The information collection requirements in this SuperNOFA have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520). The chart shown above provides the OMB approval number for each program that is part of this SuperNOFA. Where the chart notes that an OMB number is pending, this means that HUD has submitted the information to OMB to obtain an approval number and HUD's request for the number is pending. As soon as HUD receives the approval number, the number will be published in the **Federal Register** and provided to the SuperNOFA Information Center. Under the Paperwork Reduction Act, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

**General Section of the SuperNOFA***I. Authority; Purposes of the FY 1999 SuperNOFA; Funding Amount; Eligible Applicants and Eligible Activities***(A) Authority**

HUD's authority for making funding under this SuperNOFA is the Fiscal Year 1999 Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1999 (Pub.L. 105–276, 112 Stat. 2461, approved October 21, 1998) (FY 1999 HUD Appropriations Act).

**(B) Purposes**

The purposes of this SuperNOFA are to:

(1) *Make funding available to empower communities and residents.* The funding made available by this SuperNOFA will assist community residents, particularly the poor and disadvantaged, to develop viable communities and provide decent housing for all citizens, without discrimination.

(2) *Simplification of the application process for funding under HUD programs.* This year's SuperNOFA continues to provide a single, uniform set of rating factors and submission requirements. This year's SuperNOFA also allows, as did last year's, for you, the applicant, to apply for more than one program with a single application.

(3) *Promote comprehensive approaches to housing and community development.* Through the SuperNOFA process, HUD encourages you, the applicant, to focus on the interrelationships that exist in a

community and in HUD's funding programs, and to build community-wide efforts that coordinate the resources of multiple applicants and programs. The needs and problems of a community rarely, if ever, stand in isolation from each other. Due to this fact, it is very difficult to address these problems and to provide opportunities to use existing community resources in a piecemeal fashion. To successfully address community needs and solve community problems, and to take advantage of existing resources, HUD encourages members of a community to join together and pool all available resources in a common, coordinated effort. In 1998, HUD began structuring its funding process to help its community partners take this coordinated, holistic approach. Further, by making all of HUD's competitive funding available in one document, HUD allows you, the applicant, to be able to relate the activities proposed for funding under this SuperNOFA to the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice.

**(C) Funding Available**

As noted in the Introduction Section to the SuperNOFA, the HUD programs that are part of this SuperNOFA are allocated amounts based on appropriated funds. If HUD recaptures funds in any program, HUD reserves the right to increase the available funding amounts by the amount of funds recaptured.

**(D) Eligible Applicants and Eligible Activities**

The Programs Section of the SuperNOFA describes the eligible applicants and eligible activities for each program.

*II. Requirements and Procedures Applicable to All Programs*

Except as may be modified in the Programs Section of this SuperNOFA, or as noted within the specific provisions of this Section II, the principles listed below apply to all programs that are part of this SuperNOFA. Please be sure to read the Programs Section of the SuperNOFA for additional requirements or information.

**(A) Statutory Requirements**

To be eligible for funding under this SuperNOFA, you, the applicant, must meet all statutory and regulatory requirements that are applicable to the program or programs for which you are seeking funding. If you need copies of the program regulations, they are available from the SuperNOFA Information Center or through the

Internet at the HUD web site located at <http://www.HUD.gov>. Among the reasons that HUD may reject an application from further funding consideration is if the activities or projects proposed in the application are not eligible activities and projects, or (with the exception of the Section 202 and 811 programs) HUD may eliminate the ineligible activities from funding consideration and reduce the grant amount accordingly.

**(B) Threshold Requirements—Compliance With Fair Housing and Civil Rights Laws.**

With the exception of Federally recognized Indian tribes, all applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a). If you are a Federally recognized Indian tribe, you must comply with the Age Discrimination Act of 1975, section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act.

If you, the applicant—

(1) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(2) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(3) Have received a letter of noncompliance findings under Title VI, Section 504, or Section 109,—

HUD will not rank and rate your application under this SuperNOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

**(C) Additional Nondiscrimination Requirements**

You, the applicant and your subrecipients, must comply with the Americans with Disabilities Act, and Title IX of the Education Amendments Act of 1972.

**(D) Affirmatively Furthering Fair Housing**

Unless otherwise specified in the Programs Section of this SuperNOFA, if you are a successful applicant, you will

have a duty to affirmatively further fair housing. Again, except as may be provided otherwise in the Programs Section of this SuperNOFA, you, the applicant, should include in your application or work plan the specific steps that you will take to:

(1) Address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, you, the applicant, have a duty to carry out the specific activities provided in your responses to the SuperNOFA rating factors that address affirmatively furthering fair housing. Please see the Programs Section of this SuperNOFA for further information.

(E) Economic Opportunities for Low and Very Low-Income Persons (Section 3).

Certain programs in this SuperNOFA require recipients of assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements subpart E. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing and (2) business concerns which provide economic opportunities to low and very low income persons. As noted in the Programs Section of this SuperNOFA, Section 3 is applicable to the following programs:

1. Historically Black Colleges and Universities (HBCU);
2. Hispanic Serving Institutions Assisting Communities (HSIAC);
3. Lead-Based Paint Hazard Control;
4. Mold and Moisture Control in Inner City Housing Program;
5. HOPE VI Public Housing Revitalization;
6. Public Housing Drug Elimination Program (PHDEP);
7. Public Housing Drug Elimination Program—New Approaches
8. Multifamily Housing Drug Elimination;
9. Economic Development Initiative (EDI);
10. Brownfields Economic Development Initiative (BEDI);
11. Self-Help Homeownership Opportunity Program (SHOP);

12. Youthbuild;
13. Continuum of Care Homeless Assistance Programs;
14. Housing Opportunities for Persons with AIDS (HOPWA);
15. Section 202 Supportive Housing for the Elderly; and
16. Section 811 Supportive Housing for Persons with Disabilities.

#### (F) Relocation

Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by Federal relocation statute and regulations. Specifically, this type of move is covered by the acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and the implementing governmentwide regulation at 49 CFR part 24. The relocation requirements of the URA and the governmentwide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of rehabilitation or demolition for an activity undertaken with HUD assistance.

#### (G) Forms, Certifications and Assurances

You, the applicant, are required to submit signed copies of the standard forms, certifications, and assurances listed in this section, unless the requirements in the Programs Section specifies otherwise. Additionally, the Programs Section may specify additional forms, certifications, assurances or other information that may be required for a particular program in this SuperNOFA. As part of HUD's continuing efforts to improve the SuperNOFA process, several of the required standard forms have been simplified this year. The standard forms, certifications, and assurances are as follows:

- (1) Standard Form for Application for Federal Assistance (SF-424);
- (2) Standard Form for Budget Information—Non-Construction Programs (SF-424A) or Standard Form for Budget Information—Construction Programs (SF-424C), as applicable;
- (3) Standard Form for Assurances—Non-Construction Programs (SF-424B) or Standard Form for Assurances—

Construction Programs (SF-424D), as applicable;

(4) Drug-Free Workplace Certification (HUD-50070);

(5) Certification and Disclosure Form Regarding Lobbying (SF-LLL); (Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are not required to submit this certification. Tribes and TDHEs established under State law are required to submit this certification.)

(6) Applicant/Recipient Disclosure Update Report (HUD-2880);

(7) Certification that the applicant will comply with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, and will affirmatively further fair housing. CDBG recipients applying for funds under title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301 *et seq.*) also must certify to compliance with section 109 of the Housing and Community Development Act. Federally recognized Indian tribes must certify that they will comply with the requirements of the Age Discrimination Act of 1975, section 504 of the Rehabilitation Act of 1973, and the Indian Civil Rights Act.

(8) Certification required by 24 CFR 24.510. (The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status, and a certification is required.)

#### (H) OMB Circulars

Certain OMB circulars also apply to this SuperNOFA. The policies, guidance, and requirements of OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments), OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations), 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally recognized Indian tribal governments) may apply to the award, acceptance and use of assistance under the programs of this SuperNOFA, and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 1999 HUD Appropriations Act, other Federal statutes or the provisions of this

SuperNOFA. Compliance with additional OMB Circulars may be specified for a particular program in the Programs Section of the SuperNOFA. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 10503, telephone (202) 395-7332 (this is not a toll free number).

#### (I) Environmental Requirements

If you become a grantee under one of the programs in this SuperNOFA that assist physical development activities or property acquisition, you are generally prohibited from acquiring, rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) HUD has completed an environmental review in accordance with 24 CFR part 50; or

(2) For programs subject to 24 CFR part 58, HUD has approved a grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review.

You, the applicant, should consult the Programs Section of the SuperNOFA for the applicable program to determine the procedures for, timing of, and any exclusions from environmental review under a particular program. For applicants applying for funding under the Sections 202 or 811 Programs, please note the environmental review requirements for these programs.

#### (J) Conflicts of Interest

If you are a consultant or expert who is assisting HUD in rating and ranking applicants for funding under this SuperNOFA, you are subject to 18 U.S.C. 208, the Federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for this SuperNOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this SuperNOFA. All individuals involved in rating and ranking this SuperNOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethics Law Division the following information if applicable: the selection or non-selection of any applicant under this SuperNOFA will affect the individual's

financial interests, as provided in 18 U.S.C. 208; or the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this SuperNOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202-708-3815 and ask to speak to one of HUD's attorneys in this division.

### III. Application Selection Process

#### (A) Rating Panels

To review and rate your applications, HUD may establish panels. These panels may include persons not currently employed by HUD. HUD may include these non-HUD employees to obtain certain expertise and outside points of view, including views from other Federal agencies.

(1) *Rating.* HUD will evaluate and rate all applications for funding that meet the threshold requirements and rating factors for award described in this SuperNOFA. The rating of you, as the "applicant," or of your organization, "the applicant's organization and staff," for technical merit or threshold compliance will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

(2) *Ranking.* HUD will rank applicants within each program (or, for Continuum of Care applicants, across the three programs identified in the Continuum of Care section of this SuperNOFA). HUD will rank applicants only against other applicants that applied for the same program funding. Where there are set-asides within a program competition, you, the applicant, only will compete against applicants in the same set-aside competition.

#### (B) Threshold Requirements

HUD will review your application to determine whether your application meets all of the threshold requirements described in Section II(B), above. Only if your application meets all of the threshold requirements will it be eligible to be rated and ranked.

#### (C) Factors for Award Used To Evaluate and Rate Applications

For each program that is part of this SuperNOFA, the points awarded for the rating factors total 100. Depending upon the program for which you the applicant seek funding, the program may provide for up to four bonus points as provided in paragraphs (1) and (2) of this Section III(C).

(1) *Bonus Points.* The SuperNOFA provides for the award of up to two bonus points for eligible activities/projects that the applicant proposes to be located in high performing federally designated Empowerment Zones (EZs) or Enterprise Communities (ECs). To be eligible to receive the two bonus points, you must certify that the proposed activities/projects: (a) will be located in a Federally designated Empowerment Zone or Enterprise Community and will serve residents of the EZ/EC; and (b) are consistent with the strategic plan of the EZ/EC. If you provide this certification and HUD determines that the area is a high performing EZ/EC, as announced in HUD's list to be published in the **Federal Register** in March 1999, you will be awarded the two points. A listing of the high performing federally designated EZs/ECs will be available from the SuperNOFA Information Center, or through the HUD web site on the Internet at <http://www.HUD.gov>, as well as in the **Federal Register**.

(2) *Court-Ordered Consideration.* For any application submitted by the City of Dallas, Texas, for funds under this SuperNOFA for which the City of Dallas is eligible to apply, HUD will consider the extent to which the strategies or plans in the city's application or applications will be used to eradicate the vestiges of racial segregation in the Dallas Housing Authority's low income housing programs. The City of Dallas should address the effect, if any, that vestiges of racial segregation in Dallas Housing Authority's low income housing programs have on potential participants in the programs covered by this NOFA, and identify proposed actions for remedying those vestiges. HUD may add up to 2 points to the score based on this consideration. This special consideration results from an order of the U.S. District Court for the Northern District of Texas, Dallas, Division. (This Section III(C)(2) is limited to applications submitted by the City of Dallas.)

(3) *The Five Standard Rating Factors.* Additional details about the five rating factors listed below, and the maximum points for each factor, are provided in the Programs Section of the SuperNOFA. You, the applicant, should carefully read the factors for award as described in the Programs Section of the SuperNOFA. HUD has established these five factors as the basic factors for award in every program that is part of this SuperNOFA. For a specific HUD program, however, HUD may have modified these factors to take into account specific program needs, or statutory or regulatory limitations imposed on a program. The standard

factors for award, except as modified in the program area section are:

- Factor 1: Capacity of the Applicant and Relevant Organizational Staff
- Factor 2: Need/Extent of the Problem
- Factor 3: Soundness of Approach
- Factor 4: Leveraging Resources
- Factor 5: Comprehensiveness and Coordination

The Continuum of Care Homeless Assistance Programs have only two factors that receive points: Need and Continuum of Care.

#### (D) Negotiation

After HUD has rated and ranked all applications and has made selections, HUD may require, depending upon the program, that all winners participate in negotiations to determine the specific terms of the grant agreement and budget. In cases where HUD cannot successfully conclude negotiations with a selected applicant or a selected applicant fails to provide HUD with requested information, an award will not be made to that applicant. In this instance, HUD may offer an award to the next highest ranking applicant, and proceed with negotiations with the next highest ranking applicant.

#### (E) Adjustments to Funding

(1) HUD reserves the right to fund less than the full amount requested in your application to ensure the fair distribution of the funds and to ensure that the purposes of a specific program are met.

(2) HUD may choose not to fund any portion of your application that is not eligible for funding under specific program statutory or regulatory requirements, or which do not meet the requirements of this SuperNOFA or which may be duplicative of other funded programs or activities from previous years' awards. HUD may choose to fund only the eligible portions of your application.

(3) If funds remain after funding the highest ranking applications, HUD may fund part of the next highest ranking application in a given program. If you, the applicant, turn down the award offer, HUD will make the same determination for the next highest ranking application. If funds remain after all selections have been made, remaining funds may be available for other competitions for each program where there is a balance of funds.

(4) In the event HUD commits an error that, when corrected, would result in selection of an otherwise eligible applicant during the funding round of this SuperNOFA, HUD may select that applicant when sufficient funds become available.

#### (F) Performance and Compliance Actions of Grantees

HUD will measure and address the performance and compliance actions of grantees in accordance with the applicable standards and sanctions of their respective programs.

#### IV. Application Submission Requirements

As HUD discussed earlier in the introductory section of this SuperNOFA, part of the simplification of this funding process is to reduce the duplication of effort that has been required of applicants in the past. Before the SuperNOFA process, many of HUD's applicants were required to complete and submit similar applications for HUD funded programs. As the Program Chart above shows, the FY 1999 SuperNOFA provides, as did the FY 1998 SuperNOFA, for consolidated applications for several of the programs for which funding is available under this SuperNOFA.

#### V. Corrections to Deficient Applications

After the application due date, HUD may not, consistent with its regulations in 24 CFR part 4, subpart B, consider any unsolicited information you, the applicant, may want to provide. HUD may contact you, however, to clarify an item in your application or to correct technical deficiencies. You should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of your response to any eligibility or selection factors. *Examples of curable (correctable) technical deficiencies* include your failure to submit the proper certifications or your failure to submit an application that contains an original signature by an authorized official. In each case, HUD will notify you in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested. You must submit clarifications or corrections of technical deficiencies in accordance with the information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. If your deficiency is not corrected within this time period, HUD will reject your application as incomplete, and it will not be considered for funding. (Note that the Sections 202 and 811 Programs, by regulation, provide for appeal of rejection of an application on technical deficiency. Please see the Programs Sections for these programs for additional information and instructions.)

#### VI. Promoting Comprehensive Approaches to Housing and Community Development

##### (A) General

HUD believes the best approach for addressing community problems is through a community-based process that provides a comprehensive response to identified needs. By making these grant programs available in one document, applicants may be able to relate the activities proposed for funding under this SuperNOFA to the recent and upcoming NOFAs and the community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice. There are certain HUD grant programs that are not part of this SuperNOFA (primarily those for which funding is allocated by lottery).

##### (B) Linking Program Activities With AmeriCorps

You are encouraged to link your proposed activities with AmeriCorps, a national service program engaging thousands of Americans on a full or part-time basis to help communities address their toughest challenges, while earning support for college, graduate school, or job training. For information about AmeriCorps, call the Corporation for National Service at (202) 606-5000.

##### (C) Encouraging Visitability in New Construction and Substantial Rehabilitation Activities

In addition to applicable accessible design and construction requirements, you are encouraged to incorporate visitability standards where feasible in new construction and substantial rehabilitation projects. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means at least one entrance at grade (no steps), approached by an accessible route such as a sidewalk; the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage space. Allowing use of 2'10" doors is consistent with the Fair Housing Act (at least for the interior doors), and may be more acceptable than requiring the 3 foot doors that are required in fully accessible areas under the Uniform Federal Accessibility Standards (UFAS) for a small percentage of units. A visitable home also serves persons without disabilities, such as a mother pushing a stroller, or a person delivering a large appliance. Copies of the UFAS are available from the SuperNOFA Information Center (1-800-HUD-2209) and also from the Office of Fair Housing and Equal Opportunity,

U.S. Department of Housing and Urban Development, Room 5230, 451 Seventh Street, SW, Washington, DC 20410, telephone (202) 755-5404 or the TTY telephone number, 1-800-877-8399 (Federal Information Relay Service).

#### (D) Developing Healthy Homes

HUD's Healthy Homes Initiative is one of the initiatives developed by the White House Task Force on Environmental Health Risks and Safety Risks to Children that was established under Executive Order 13045 ("Protection of Children from Environmental Health Risks and Safety Risks"). HUD encourages the funding of activities (to the extent eligible under specific programs) that promote healthy homes, or that promote education on what is a healthy home. These activities may include, but are not limited to the following: educating homeowners or renters about the need to protect children in their home from dangers that can arise from items such as curtain cords, electrical outlets, hot water, poisons, fire, and sharp table edges, among others; incorporating child safety measures in the construction, rehabilitation or maintenance of housing, which include but are not limited to: child safety latches on cabinets, hot water protection devices, properly ventilated windows to protect from mold, window guards to protect children from falling, proper pest management to prevent cockroaches which can cause asthma, and activities directed to control of lead-based paint hazards. The National Lead Information Hotline is 1-800-424-5323.

#### VII. Findings and Certifications

##### (A) Environmental Impact

A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations at 24 CFR part 50 that implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332). The Finding of No Significant Impact is available for public inspection during regular business hours in the Office of the General Counsel, Regulations Division, Room 10276, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, DC 20410-0500.

##### (B) Federalism, Executive Order 12612

The General Counsel, as the Designated Official under section 6(a) of Executive Order 12612, *Federalism*, has determined that the policies contained in this SuperNOFA will not have substantial direct effects on States or

their political subdivisions, or on the relationship between the Federal Government and the States, or on the distribution of power and responsibilities among the various levels of government. Specifically, the SuperNOFA solicits applicants to expand their role in addressing community development needs in their localities, and does not impinge upon the relationships between the Federal Government and State and local governments. As a result, the SuperNOFA is not subject to review under the Order.

##### (C) Prohibition Against Lobbying Activities

You, the applicant, are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that you will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, you must disclose, using Standard Form LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts. Tribes and tribally designated housing entities (TDHEs) established by an Indian tribe as a result of the exercise of the tribe's sovereign power are excluded from coverage of the Byrd Amendment, but tribes and TDHEs established under State law are not excluded from the statute's coverage.)

##### (D) Section 102 of the HUD Reform Act; Documentation and Public Access Requirements

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and

disclosure requirements of section 102 apply to assistance awarded under this SuperNOFA as follows:

(1) *Documentation and public access requirements.* HUD will ensure that documentation and other information regarding each application submitted pursuant to this SuperNOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 5-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations in 24 CFR part 15.

(2) *Disclosures.* HUD will make available to the public for 5 years all applicant disclosure reports (HUD Form 2880) submitted in connection with this SuperNOFA. Update reports (also Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 years. All reports—both applicant disclosures and updates—will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 5.

(3) *Publication of Recipients of HUD Funding.* HUD's regulations at 24 CFR 4.7 provide that HUD will publish a notice in the **Federal Register** on at least a quarterly basis to notify the public of all decisions made by the Department to provide:

- (i) Assistance subject to section 102(a) of the HUD Reform Act; or
- (ii) Assistance that is provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

##### (E) Section 103 HUD Reform Act

HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive advantage. Persons who apply for

assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or Headquarters counsel for the program to which the question pertains.

*VIII. The FY 1999 SuperNOFA Process and Future HUD Funding Processes*

In FY 1998, Secretary Cuomo took the first significant step in changing HUD's

funding process to better promote comprehensive, coordinated approaches to housing and community development by developing the SuperNOFA process. The three SuperNOFAs published in FY 1998 reflected a marked improvement over HUD's previous funding process and assisted communities to make better use of available resources through a coordinated approach.

This FY 1999 SuperNOFA takes HUD's funding process to the next step—a single SuperNOFA. The FY 1999 SuperNOFA was developed based on comments received from HUD clients and the Department believes it represents a significant improvement

over HUD's approach to the funding process in prior years. For FY 2000, HUD may take even further steps to enhance this process. HUD welcomes comments from applicants and other members of the public on this process, and how it may be improved in future years.

The description of programs for which funding is available under this SuperNOFA follows.

Dated: February 18, 1999.

**Saul N. Ramirez, Jr.,**  
*Deputy Secretary.*

BILLING CODE 4210-32-P



## **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

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### **COMMUNITY DEVELOPMENT TECHNICAL ASSISTANCE**

Community Development Block Grant  
(CDBG) TA

Community Housing Development  
Organization (CHDO) TA

HOME TA

Supportive Housing Program (SHP) TA

HOPWA TA



*Funding Availability for Community Development Technical Assistance (CD-TA) Programs—CDBG, CHDO, HOME, Supportive Housing and HOPWA*

*Program Overview*

**Purpose of the Program.** The purposes of the technical assistance programs in this SuperNOFA are:

**Community Development Block Grant Technical Assistance.** To increase the effectiveness with which States and units of general local government plan, develop and administer their Community Development Block Grant (CDBG) Programs, including assistance to aid non-profits and other recipients of CDBG funds.

**CHDO Technical Assistance.** To promote the ability of Community Housing Development Organizations (CHDOs) to maintain, rehabilitate and construct housing for low-income and moderate-income families; facilitate the education of low-income homeowners and tenants; and help women who reside in low- and moderate-income neighborhoods to rehabilitate and construct housing in the neighborhoods.

**HOME Technical Assistance.** To help HOME participating jurisdictions design and implement HOME programs, including: improving their ability to design and implement housing strategies and incorporate energy efficiency into affordable housing; facilitating the exchange of information to help participating jurisdictions carry out their programs; facilitating the establishment and efficient operation of employer-assisted housing programs and land bank programs; and encouraging private lenders and for-profit developers of low-income housing to participate in public-private partnerships.

**Supportive Housing Program (SHP) Technical Assistance.** To provide HUD-funded Supportive Housing Program projects with technical assistance to promote the development of supportive housing and supportive services as part of a Continuum of Care approach, including innovative approaches to assist homeless persons in the transition from homelessness, and promoting the provision of supportive housing to homeless persons to enable them to live as independently as possible.

**Housing Opportunities for Persons with AIDS (HOPWA).** To train communities to create comprehensive housing strategies and responsive area programs that assist residents who are living with HIV/AIDS; to train HOPWA grantees to administer formula and competitive funds in an efficient and

effective manner, including undertaking community consultations, program planning, housing development and operations, program evaluation and reporting on accomplishments; and to build the capacity of nonprofit organizations to carry out activities as HOPWA projects sponsors.

**Available Funds.** Up to \$24.3 million is available for the five CD-TA programs.

**Eligible Applicants.** Specific eligibility requirements for the five CD-TA programs are found below in Section III(C). Forty percent of the CDBG, CHDO, HOME and Supportive Housing technical assistance funds is limited to qualified providers who have not previously received a technical assistance award. This limitation is not applicable to HOPWA technical assistance.

**Application Deadline.** May 26, 1999.  
**Match.** None.

**Additional Information**

If you are interested in applying for funding under this program, please review carefully the General Section of this SuperNOFA and the following additional information.

**I. Application Due Date, Application Kits, Further Information, and Technical Assistance**

**Application Due Date.** Submit your completed applications (an original and one copy) on or before 12:00 midnight, Eastern time, on May 26, 1999. The original application that you submit to Headquarters is considered the official application. Send a copy of your application on or before the application deadline date to the HUD CPD Field Office(s) in which you are seeking to provide services. Only one application per applicant is permitted; however, one application can include as few as one or as many as all five CD-TA programs. The application kit contains the addresses and hours of operation for the HUD CPD Field Offices.

See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

**Addresses for Submitting Applications.** Submit your completed original application to HUD Headquarters, U.S. Department of Housing and Urban Development, CPD Processing and Control Branch, Room 7251, 451 Seventh Street, SW, Washington, DC 20410. Send a copy of the application to the appropriate CPD Field Office(s) at the address shown on the list of HUD CPD Field Offices

included in the application kit. When submitting your application, please refer to the Community Development Technical Assistance Program. Be sure to include your name, mailing address (including zip code), telephone number (including area code), and fax number (including area code).

**For Application Kits.** For an application kit and any supplemental information, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. When requesting an application kit, please refer to "Community Development Technical Assistance Programs." Please be sure to provide your name, address (including zip code), telephone number (including area code), and fax number (including area code).

**For Further Information and Technical Assistance.** For answers to your questions, you have several options. You may call the HUD CPD Office serving your area at the telephone number listed in the list of HUD CPD Field Offices included in the application kit, or you may contact Ms. Deirdre Neighbors at 202-708-3176 x4386 in HUD Headquarters. Information on this SuperNOFA also may be obtained through the HUD web site on the Internet at <http://www.HUD.gov>.

**II. Amount Allocated**

(A) The amounts allocated for each CD-TA program are as follows:

CDBG TA funds:

Up to \$2,500,000

CHDO TA funds:

Up to \$9,000,000 Total

\$3,600,000 Single State

\$5,400,000 Multi-State

HOME TA funds:

Up to \$8,000,000

SHP TA funds:

Up to \$2,500,000

HOPWA TA funds:

Up to \$2,250,000

(B) Each HUD/CPD Field Office has been allocated a "fair-share" of CD-TA funds for purposes of this competition, except for the HOPWA TA funds which will be awarded only through a national competition (See CD-TA Appendix A for the fair share allocations). The amounts are based on workload allocations of HOME, CDBG and SHP entitlement funds and competitive programs for which Field Offices have management oversight. These amounts are only for guidance purposes for you to develop your program budgets by Field Office jurisdiction and are not the exact amounts to be awarded to you in each area.

HUD will determine the total amount to be awarded to any provider based upon the size and needs of the provider's service area within each Field Office jurisdiction in which the provider is selected to operate, the funds available for that area, the number of other awardees selected in that area, and the scope of the technical assistance to be provided. Additionally, HUD may reduce the amount of funds allocated for Field Office jurisdictions to fund national CD-TA providers and other CD-TA providers for activities which cannot be budgeted or estimated by Field Office jurisdiction. HUD may require selected applicants, as a condition of funding, to provide coverage on a geographically broader basis than applied for in order to supplement or strengthen the intermediary network in terms of the location (service area), types and scope of technical assistance proposed.

(C) In order to reach new technical assistance providers in the CDBG, HOME, CHDO and SH program areas, 40% of the funds in each of these four program areas within a field office (or at the national level) will be awarded to applicants who have not previously been funded under a technical assistance competition. Therefore, approximately \$1 million will be awarded to new providers in CDBG; \$3.2 million in HOME; \$3.6 million in CHDO; and \$1 million in SHP. With respect to CHDO funds, 40% of the total funds (single state and multi-state combined) are earmarked for new providers. If qualified new applicants are not found in each program area in each Field Office and/or at the national level, the remaining funds will be made available for previously funded providers. The reverse also is true.

(D) To the extent permitted by funding constraints, HUD intends to provide coverage for as full a range as possible, of eligible CD-TA activities of each CD-TA program in each Field Office jurisdiction. To achieve this objective, HUD will fund the highest ranking providers that bring the required expertise in one or more specialized activity areas, and fund portions of providers' proposed programs in which they have the greatest skill and capability for given geographic areas or on a national basis. HUD also may require national, multi-jurisdictional, or other providers to provide coverage to Field Office jurisdictions which cannot otherwise receive cost-effective support from a CD-TA provider. In selecting applicants for funding, in addition to the rating factors, HUD will apply program policy criteria identified in Section V of this

CD-TA Program section of SuperNOFA to select a range of providers and activities that would best serve program objectives for each program serviced by the CD-TA funded under this SuperNOFA.

### **III. Program Description; Program Award Period; Eligible Applicants; Eligible and Ineligible Activities; and Sub-Grants/Pass Through Funds**

(A) *Program Description.* Up to \$24.3 million in technical assistance (TA) funds is available from five separate technical assistance programs: Community Development Block Grant (CDBG) TA, Community Housing Development Organization (CHDO) TA, HOME TA, SHP TA, and HOPWA TA (collectively "CD-TA").

The funding of these five CD-TA programs through a single funding availability announcement will not affect the ability of eligible applicants to seek CD-TA funding. Eligible applicants are able to apply for funding under as few as one, and as many as five, separate CD-TA programs, individually or collectively, singularly or in combination. The specific provisions of the five separate CD-TA programs have not been changed. This Community Development Technical Assistance Programs section of the SuperNOFA reflects the statutory requirements and differences in the five different CD-TA programs.

#### **(B) Program Award Period.**

(1) Cooperative Agreements will be for a period of up to 36 months. HUD, however, reserves the right to:

(a) Terminate awards in accordance with provisions contained in OMB Circular A-102, and 24 CFR parts 84 and 85 anytime after 12 months;

(b) Withdraw funds from a specific provider, if HUD determines that the urgency of need for the assistance is greater in other Field Office jurisdictions or the need for assistance is not commensurate with the award for assistance;

(c) Extend the performance period of individual awardees up to a total of 12 additional months.

(2) In cases where an applicant selected for funding under this program section of the SuperNOFA currently is providing CD technical assistance under an existing CD-TA grant/cooperative agreement, HUD reserves the right to adjust the start date of funding under this program to coincide with the conclusion of the previous award, or to incorporate the remaining activities from the previous award into the new agreement, adjusting the funding levels as necessary.

#### **(C) Eligible Applicants.**

(1) *General.* The eligible applicants for each of the five CD-TA programs are listed in paragraphs (2), (3), (4) and (5) of this Section (C). This paragraph (1) lists requirements applicable to all applicants.

(a) Many organizations are eligible to apply for more than one CD-TA program and are encouraged to do so to the extent they have the requisite experience, expertise and capability.

(b) All applicant organizations must have demonstrated ability to provide CD-TA in a geographic area larger than a single city or county and must propose to serve an area larger than a single city or county.

(c) An organization may not provide assistance to itself, and any organization funded to assist CHDOs under this CD-TA Program section of the SuperNOFA may not act as a CHDO itself within its service area while under award with HUD.

(d) A consortium of organizations may apply for one or more CD-TA programs, but HUD will require that one organization be designated as the legal applicant, where legally feasible. Where one organization cannot be so designated for all proposed activities, HUD may execute more than one cooperative agreement with the members of a consortium.

(e) All applicants must meet minimum statutory eligibility requirements for each CD-TA program for which they are chosen in order to be awarded a cooperative agreement. Copies of the Technical Assistance program regulations will be provided with the application kit.

(f) All eligible CD-TA providers may propose assistance using in-house staff, consultants, sub-contractors and sub-recipients, networks of private consultants and/or local organizations with requisite experience and capabilities. Whenever possible, applicants should make use of technical assistance providers located in the Field Office jurisdiction receiving services. This draws upon local expertise and persons familiar with the opportunities and resources available in the area to be served while reducing travel and other costs associated with delivering the proposed technical assistance services.

(g) All applicants must meet the applicable threshold requirements of Section II(B) of the General Section of the SuperNOFA.

#### **(2) CDBG and Supportive Housing Eligible Applicants.**

(a) States and units of general local government.

(b) Public and private non-profit or for-profit groups, including educational institutions and area-wide planning

organizations, qualified to provide technical assistance on CDBG programs or Supportive Housing projects. With respect to the CDBG program, an applicant group must be designated as a technical assistance provider to a unit of government's CDBG program by the chief executive officer of each unit to be assisted before assistance is provided, unless the assistance is limited to conferences/workshops attended by more than one unit of government. Do not include letters of designation in your application since granting of an award does not constitute approval of assistance to a given community and is provided only through a Technical Assistance Delivery Plan (see Section IV(A)(3) of this program section of the SuperNOFA).

(3) *CHDO Eligible Applicants.* Public and private non-profit intermediary organizations that customarily provide services (in more than one community) related to affordable housing or neighborhood revitalization to CHDOs, or similar organizations that engage in community revitalization, including all eligible organizations under section 233 of the Cranston-Gonzalez National Affordable Housing Act, as amended.

HUD will consider an intermediary as a primarily single State technical assistance provider if it can document that more than 50% of its past activities in working with CHDOs or similar nonprofit and other organizations (on the production of affordable housing or revitalization of deteriorating neighborhoods and/or the delivery of technical assistance to these groups) was confined to the geographic limits of a single State.

(4) *HOME Eligible Applicants.*

(a) A for-profit or non-profit professional and technical services company or firm that has demonstrated capacity to provide technical assistance services;

(b) A HOME participating jurisdiction (PJ) or agency thereof;

(c) A public purpose organization responsible to the chief elected official of a PJ and established pursuant to State or local legislation;

(d) An agency or authority established by two or more PJs to carry out activities consistent with the purposes of the HOME program;

(e) A national or regional non-profit organization that has membership comprised predominantly of entities or officials of entities of PJs or PJs' agencies or established organizations.

(5) *HOPWA Eligible Applicants.*

(a) Non-profit organizations; and  
(b) States and units of general local government.

(D) *Eligible and Ineligible Activities.* Eligible and ineligible activities as appropriate for each of the five CD-TA programs are listed below:

(1) *Community Development Block Grant Technical Assistance.*

(a) *Eligible Activities.* Activities performed with CDBG funds must meet the substantive nexus test contained in 24 CFR 570.402(a)(2) and may include:

- (i) The provision of technical or advisory services;
- (ii) The design and operation of training projects such as workshops, seminars, conferences, or computer-based training;
- (iii) The development and distribution of technical materials and information;
- (iv) Other methods of demonstrating and making available skills, information and knowledge to assist States, units of general local government, in planning, developing, administering or assessing assistance under CDBG programs in which they are participating or seeking to participate.

(b) *Ineligible Activities.* Activities for which costs are ineligible for funding under the Community Development Block Grant Technical Assistance Program include:

- (i) In the case of technical assistance for States, the cost of carrying-out the administration of the State CDBG program for non-entitlement communities;
- (ii) The cost of carrying out the activities authorized under the CDBG Program, such as the provision of public services, construction, rehabilitation, planning and administration for which the technical assistance is to be provided;
- (iii) The cost of acquiring or developing the specialized skills or knowledge to be provided by a group funded under this section;
- (iv) Research activities;
- (v) The cost of identifying units of governments needing assistance (except the cost of selecting recipients of technical assistance under the provision of 24 CFR 570.402(j) is eligible); or
- (vi) Activities designed primarily to benefit HUD, or to assist HUD, in carrying out the Department's responsibilities; such as research, policy analysis of proposed legislation, training or travel of HUD staff, or development and review of reports to Congress.

(2) *CHDO Technical Assistance.* CHDO Technical Assistance funds may be used only for the following eligible activities:

(a) *Organizational Support—* Organizational support assistance may be made available to community housing development organizations to

cover operational expenses and to cover expenses for training and technical, legal, engineering and other assistance to the board of directors, staff, and members of the community housing development organization;

(b) *Housing Education—*Housing education assistance may be made available to community housing development organizations to cover expenses for providing or administering programs for educating, counseling, organizing homeowners and tenants who are eligible to receive assistance under other provisions of the HOME Program;

(c) *Program-Wide Support of Nonprofit Development and Management—*Technical assistance, training, and continuing support may be made available to eligible community housing development organizations for managing and conserving properties developed under the HOME Program;

(d) *Benevolent Loan Funds—* Technical assistance may be made available to increase the investment of private capital in housing for very low-income families, particularly by encouraging the establishment of benevolent loan funds through which private financial institutions will accept deposits at below-market interest rates and make those funds available at favorable rates to developers of low-income housing and to low-income homebuyers;

(e) *Community Development Banks and Credit Unions—*Technical assistance may be made available to establish privately owned, local community development banks and credit unions to finance affordable housing;

(f) *Community Land Trusts—* Organizational support, technical assistance, education, training and continuing support under this subsection may be made available to community land trusts (as such term is defined in section 233(f) of the Cranston-Gonzalez National Affordable Housing Act) and to community groups for the establishment of community land trusts; and

(g) *Facilitating Women in Homebuilding Professions—*Technical assistance may be made available to businesses, unions, and organizations involved in construction and rehabilitation of housing in low-and moderate-income areas to assist women residing in the area to obtain jobs involving such activities, which may include facilitating access by helping such women develop nontraditional skills, recruiting women to participate in such programs, providing continuing support for women at job sites,

counseling and educating businesses regarding suitable work environments for women, providing information to such women regarding opportunities for establishing small housing construction and rehabilitation businesses, and providing materials and tools for training such women (in an amount not exceeding 10% of any assistance provided under this paragraph). HUD shall give priority under this paragraph to providing technical assistance for organizations rehabilitating single family or multifamily housing owned or controlled by HUD pursuant to title II of the National Housing Act and which have women members in occupations in which women constitute 25% or less of the total number of workers in the occupation (in this section referred to as "nontraditional occupations").

(3) *HOME Technical Assistance Program.* HUD will provide assistance to:

(a) Facilitate the exchange of information that would help participating jurisdictions carry out the purposes of the HOME statute, including information on program design and accessibility, housing finance, land use controls, and building construction techniques;

(b) Improve the ability of States and units of local government to design and implement housing strategies, particularly those States and units of local government that are relatively inexperienced in the development of affordable housing;

(c) Encourage private lenders and for-profit developers of low-income housing to participate in public-private partnerships to achieve the purposes of the HOME statute;

(d) Improve the ability of States and units of local government, community housing development organizations, private lenders, and for-profit developers of low-income housing to incorporate energy efficiency into the planning, design, financing, construction and operation of affordable housing;

(e) Facilitate the establishment and efficient operation of employer-assisted housing programs, through research, technical assistance, and demonstration projects; and

(f) Facilitate the establishment and efficient operation of land bank programs, under which title to vacant and abandoned parcels of real estate located in or causing blighted neighborhoods is cleared for use consistent with the purposes of the HOME statute.

(4) *Supportive Housing Program Technical Assistance.* Funds are available to provide technical assistance

to HUD funded Supportive Housing projects. Funds may be used to provide technical assistance to prospective applicants, applicants, recipients or other providers (project sponsors) of Supportive Housing or SHP-funded services for homeless persons. The assistance may include, but is not limited to, written information such as papers, manuals, guides and brochures; person-to-person exchanges; on-site assessments and provision of technical expertise; and training and related costs.

(5) *HOPWA Technical Assistance.*

For the purposes of this program section of the SuperNOFA, HOPWA technical assistance shall mean the transfer to HOPWA grantees and project sponsors and potential recipients of program funds, the skills and knowledge needed to develop, operate and support HOPWA-eligible projects and activities.

An applicant for HOPWA TA funds must propose activities on a national or regional basis (e.g. serving a multi-state area). The application should emphasize how activities will advise and train communities and project sponsors in undertaking program planning, community consultations, housing development and operations, coordination with related health-care and other supportive services, and evaluation and reporting on program performance. The Department has established the following four national goals for HOPWA TA projects:

(a) *Comprehensive Strategies for HIV/AIDS Housing.* HOPWA TA funds can be used to advise and train communities in: undertaking community-based needs assessments of the housing needs of persons living with HIV/AIDS and their families; drafting comprehensive multiple-year HIV/AIDS housing plans; undertaking community-wide consultations, including consulting with potential clients, providers of HIV/AIDS housing and/or services, and local, State and Federal agencies that administer HIV/AIDS-related programs, including programs funded under the Ryan White CARE Act, and programs that address serious mental illness, chronic alcohol and other drug abuse issues, and homelessness; integrating HIV/AIDS housing efforts within the area's consolidated planning processes; and collaborating with the area's Continuum of Care Homeless Assistance processes in assisting persons with HIV/AIDS who are homeless. Technical assistance also may be used to train communities in how to best target assistance to traditionally underserved subpopulations in developing community-based needs assessments and may build capacity for State-wide,

metropolitan, non-metropolitan and/or rural areas in development of area multi-year HIV and AIDS housing plans. You also could provide technical assistance to HOPWA formula grantees that are new recipients of formula allocations or that are designated by HUD as prospective recipients in future allocations to promote the planning and startup for the use of funds.

(b) *Sound Management of HOPWA Programs.* HOPWA TA funds can be used to help ensure that grantees and project sponsors use funds in a manner that upholds the public trust in the operation of programs, including: advising on management practices to provide responsive, efficient and cost effective facility and program operations; advising on fiscal management to ensure accountability in the use of funds; advising on the coordination of housing with health-care and other related supportive services for eligible persons; assisting in developing collaborations with local, State and Federal agencies that administer HIV/AIDS-related programs, including programs funded under the Ryan White CARE Act; advising on data collection and evaluation of programs; providing program handbooks, guidance materials, audio/visual products, training, and other activities to promote good management practices.

(c) *Use of HUD Information Management Tools.* HOPWA TA funds may be used to assist grantees, project sponsors and other organizations involved in HIV/AIDS plans in using the Department's information technology, financial systems and information management systems for developing, operating and reporting on program activities. Applications should address how TA activities will support the use of the Department's Consolidated Planning Process, Integrated Disbursement and Information System (IDIS), the use of HOPWA Annual Progress Reports, the Grants Management System, the LOCCS/HUDCAPS and other HUD information collection or financial management tools. The use of these management tools will help to ensure that your performance is measured under the HOPWA national performance goals, established in the Department's Annual Performance Plan. You should address plans for conducting grantee and sponsor workshops, developing training materials, developing or adapting software for program activities and goals, and sponsoring conferences of grantees and sponsors.

(d) *National HOPWA Information.* HOPWA TA funds may be used to

establish a component to support HIV/AIDS housing discussions, panels, presentations, information, exhibit booths, and other training materials at national, regional, state-wide and local meetings of organizations that are involved in housing, community development, health-care and supportive services, veterans affairs and other human service efforts. The component should help promote understanding on HIV/AIDS housing issues and needs of persons living with HIV/AIDS, and offer training on developing and accessing HIV/AIDS housing and related services. A research and information services component of this effort should include the development of information on HIV/AIDS housing and activities supported under HOPWA grants which will be published for national distribution, including disseminating information on the success and lessons learned by the HOPWA Special Projects of National Significance and Long-term grants in non-formula areas that have been awarded in the HOPWA national competitions. This component should emphasize the collection and dissemination of information on the "best practices" of HUD grantees that should serve as a basis for peer support, technical assistance, and program improvement or address emerging and unresolved issues in assisting persons living with HIV/AIDS and their families.

(E) *Sub-Grants/Pass-Through Funds.* Applicants may propose to make sub-grants to achieve the purposes of their proposed CA-TA programs in accordance with program requirements in Section IV of this CD-TA Program section of the SuperNOFA. In the case of CHDO TA, these sub-grants (also called "pass-through" funds) may be made for eligible activities and to eligible entities as identified in Section 233(b)(1), (2), and (7) of the Cranston-Gonzalez National Affordable Housing Act. When CHDO TA sub-grants are made to CHDOs, two statutory provisions apply:

(1) The sub-grant amount, when combined with other capacity building and operating support available through the HOME program, cannot exceed the greater of 50% of the CHDO's operating budget for the year in which it receives the funds, or \$50,000 annually;

(2) An amount not exceeding 10% of the total funds awarded for the "Women in the Homebuilding Professions" eligible activity may be used to provide materials and tools for training such women.

#### IV. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, applicants are subject to the following requirements:

(A) *Program Requirements for CDBG, CHDO, HOME and SHP*

(1) *Profit/Fee.* No increment above cost, no fee or profit, may be paid to any recipient or subrecipient of an award under this CD-TA Program section of the SuperNOFA.

(2) *Demand/Response Delivery System.*

(a) As an awardee, you must operate within the structure of the demand/response system described in this section. You must coordinate your plans with, and operate under the direction of, each HUD Field Office within whose jurisdiction you are operating. When so directed by a Field Office, you will coordinate your activities instead through a lead CD-TA provider or other organization designated by the Field Office.

(b) If selected as the lead CD-TA provider in any Field Office jurisdiction, as an awardee you must coordinate the activities of other CD-TA providers selected under this CD-TA Program section of the SuperNOFA under the direction of the HUD Field Office. Joint activities by CD-TA providers may be required.

(c) Under the demand/response system, CD-TA providers will be required to:

(i) When requested by a Field Office or Government Technical Representative (GTR), market the availability of their services to existing and potential clients to include local jurisdictions in which the assistance will be delivered.

(ii) Respond to requests for assistance from the HUD Field Office(s) with oversight of the geographic service area for which the technical assistance will be delivered, including responding to priorities established by the Field Office in its Grants Management System. CHDOs, HOME PJs, CDBG and SHP grantees may request assistance from the CD-TA provider directly, but such requests must be approved by the local HUD Field Office.

(iii) When requested by a Field Office or GTR, conduct a Needs Assessment to identify the type and nature of the assistance needed by the recipients of the assistance. These needs assessments should typically identify the nature of the problem to be addressed by the technical assistance services; the plan of action to address the need including the

type of technical assistance services to be provided, the duration of the service, the staff assigned to provide the assistance, anticipated products and/or outcomes, and the estimated cost for the provision of services; and the relationship of the proposed services to the planned or expected Consolidated Plan submission to HUD and to other technical assistance providers providing service within the locality.

(iv) Obtain approval for the Technical Assistance Delivery Plan (TADP) from the HUD Field Office(s) with oversight for the area in which service will be provided. (See Section 3 below).

(v) Work cooperatively with other CD-TA providers in their geographic areas to ensure that clients are provided with the full range of CD-TA services needed and available. CD-TA providers are expected to be knowledgeable about the range of services available from other providers, make referrals and arrange visits by other CD-TA providers when appropriate, and carry out CD-TA activities concurrently when it is cost-effective and in the interests of the client to do so. HUD Field Offices may direct CD-TA providers to conduct joint activities.

(3) *Technical Assistance Delivery Plan (TADP).*

(a) After selection for funding but prior to award, you must develop a TADP for each Field Office jurisdiction or National Program for which you have been selected, in consultation with the Field office and/or GTR.

(b) In developing the TADP, you must follow the Field Office's Business Operating Plan (BOP) and management strategies/workplans for each community/State in the Field Office's jurisdiction. You must use these BOP/management strategies/workplans in determining your priority work activities, location of activities, and organizations to be assisted during the cooperative agreement performance period.

(c) The BOP/grantee management strategies/workplans are part of the Field Office's Grants Management Process (GMP) and should indicate the issues to be addressed by CD-TA, the improved performance expected as a result of CD-TA, and methods for measuring the success of the CD-TA.

(d) The TADP must delineate all the tasks and sub-tasks for each CD program the applicant will undertake in each Field Office jurisdiction. It must show the location of the community/State in which the CD-TA activities will occur, the level of CD-TA funding and proposed activities by location, the improved program performance or other results expected from the CD-TA and

the methodology to be used for measuring the success of the CD-TA. A time schedule for delivery of the activities, budget-by-task and staffing plan must be included in the TADP.

(4) *Negotiation.* After all applications have been rated and ranked and a selection has been made, HUD requires that all winners participate in negotiations to determine the specific terms of the TADP and the budget. HUD will follow the negotiation procedures described in Section III(D) of the General Section of the SuperNOFA.

(5) *Forms, Certifications and Assurances.* You must submit with your application the forms, certifications and assurances listed in the General Section of this SuperNOFA. After selection for funding but prior to your providing services to a specific community you must submit the CDBG Nexus Statement (where applicable) and/or the CHDO TA designation letter (where applicable).

(6) *Financial Management and Audit Information.* After selection for funding but prior to award, you must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that your financial management system meets prescribed standards for fund control and accountability required by 24 CFR part 84 for Institutions of Higher Education and other Non-Profit Institutions, 24 CFR part 85 for States and local governments, or the Federal Acquisition Regulations (for all other applicants). The information should include the name and telephone number of the independent auditor, cognizant Federal auditor, or other audit agency as applicable.

(7) *Designation for CDBG/CHDO Technical Assistance Providers.* CDBG TA providers will be expected to obtain designation as technical assistance providers by the chief executive officers of each community within which they are working as required by 24 CFR 570.402(c)(2). CHDO TA providers will be responsible for securing a technical assistance designation letter from a PJ stating that a CHDO or prospective CHDO to be assisted by the provider is a recipient or intended recipient of HOME funds and indicating, at its option, subject areas of assistance that are most important to the PJ.

(8) *Training Sessions.* When conducting training sessions as part of its CD-TA activities, CD-TA providers are required to:

(a) Design the course materials as "step-in" packages (also called "train-the-trainer" packages) so that a Field Office or other CD-TA provider may separately give the course on its own;

(b) Arrange for joint delivery of the training with Field Office participation when so requested by the Field Office or by the GTR for national grants; and

(c) When requested by a Field Office and/or GTR, provide for professional videotaping of the workshops/courses and ensure their production in a professional and high-quality manner, suitable for viewing by other CD clients (if this requirement is implemented, additional funds may be requested).

(d) When required by HUD, deliver HUD-approved training courses that have been designed and developed by other HUD contractors or HUD cooperating parties on a "step-in" basis for CD-TA clients, and send trainers to HUD-approved Train-the Trainer sessions.

(9) *Reports to Field Offices and/or GTRs.* CD-TA providers will be required to report to the HUD Field Office(s) with oversight of the geographic area(s) in which CD-TA services are provided or to Headquarters GTRs in the case of national providers. At a minimum, this reporting will be on a quarterly basis unless otherwise specified in the approved TADP.

(10) *Active Participation.* HUD Field Offices will be active participants in the delivery of all technical assistance by funded providers throughout the term of the cooperative agreement.

(11) *CHDO Pass-Through Funds.* CD-TA providers proposing pass-through grants are required to:

(a) Establish written criteria for selection of CHDOs receiving pass-through funds which includes the following:

(i) Participating jurisdictions (PJs) must designate the organizations as CHDOs.

(ii) Generally, the organizations should not have been in existence more than 3 years.

(b) Enter into an agreement with the CHDO that the agreement and pass-through funding may be terminated at the discretion of the Department if no written legally binding agreement to provide assistance for a specific housing project (for acquisition, rehabilitation, new construction or tenant-based rental assistance) has been made by the PJ with the CHDO within 24 months of receiving the pass-through funding.

(12) *CHDO TA Program Limitations.* Pursuant to section 233(d)(1) and (2) of the Cranston-Gonzalez National Affordable Housing Act, funding to any single eligible nonprofit intermediary organization seeking to provide CHDO TA, whether as an independent or joint applicant, is limited to the lesser of 20% of all funds, or an amount not to exceed 20% of the organization's operating

budget for any one year (not including funds sub-awarded or passed through the intermediary to CHDOs). Pursuant to section 233(e), HUD is making available through this program section of the SuperNOFA 40% of the total CHDO TA funds to single state providers within the Field Offices. If there are no single state applicants or the qualified single state applicants utilize less than the 40% set-aside in a given Field Office, that Field Office's single state CHDO set-aside will be redistributed among the qualified multi-state providers in that Field Office. Field Offices also may utilize their multi-state set-aside for single state applicants if the reverse is true.

(13) *HOME TA Program Limitations.* Pursuant to section 243(b) of the Cranston-Gonzalez National Affordable Housing Act, funding to any single eligible HOME TA organization, whether as an independent or joint applicant, is limited to not more than 20% of the operating budget of the recipient organization in any one year and is limited to 20% of the funds available under this program section of the SuperNOFA.

(14) *Affirmatively Furthering Fair Housing.* Section II(D) of the General Section of the SuperNOFA does not apply to these technical assistance programs.

#### (B) Program Requirements for HOPWA Technical Assistance

(1) *General Requirements.* The items listed below specify the requirements that apply to the HOPWA TA applications as follows: in Section (A), Paragraphs: (1) on Profit/Fee; (4) Negotiation, except that the TADP reference will apply to a workplan negotiated between the applicant and the GTR for the HOPWA TA grant in HUD Headquarters; (5) Forms, Certifications and Assurances; (6) Financial Management and Audit Information; (8) Training Sessions; (9) Reports to Field Offices and/or GTRs, except that you must report to the HOPWA Headquarters GTR, at a minimum, on a quarterly basis, unless otherwise specified in an approved HOPWA TA workplan; and the HOPWA TA grantees must also report to the GTR in the Headquarters program office by September 30, 1999 for activities carried out in Fiscal Year 1999; and (14) Affirmatively Furthering Fair Housing.

(2) *Coordination of HOPWA TA Requests.* Except for national meetings, research, information and other activities that are conducted on a program-wide basis in cooperation with HUD Headquarters, as the grantee of HOPWA TA funds, you must work



cooperatively with HUD Field Offices. You must notify the applicable HUD Field Office of the planned activities; must consider the views or recommendations of that office, if any; must follow those recommendations, to the degree practicable; and must report to the applicable Field Office on the accomplishments of this assistance.

## V. Application Selection Process

### (A) Rating and Ranking.

(1) HUD will evaluate applications competitively and rank them against all other applicants that have applied for the same CD-TA program (CDBG, HOME, SHP) within each Field Office or as a National Provider under HOPWA. CHDO applications are similarly evaluated and ranked but are separated into two sub-groups—single State providers and multi-State providers. There will be separate rankings for each CD-TA program, and you will be ranked only against others that have applied for the same CD-TA program.

(2) Once scores are assigned, all applications will be listed in rank order for each CD-TA program for which they applied by Field Office jurisdiction and/or the HOPWA National Program. In each Field Office jurisdiction or National Program area, all applications for the CDBG TA program will be listed in rank order on one list, all applications for the HOME TA program will be listed in rank order on another list, all applications for the SHP TA program will be listed in rank order on another list, and all applications for the HOPWA TA national projects will be ranked separately on another list. All applications for the CHDO TA program will be ranked separately on either the single state provider list or the multi-state provider list. Under this system, a single application from one organization for all CD-TA programs could be assigned different scores and different rankings for each program in different Field Offices.

(3) Applications will be funded in rank order for each CD-TA program by Field Office jurisdiction, except for HOPWA TA national providers and others which cannot be ranked by Field Office jurisdiction. National providers and others will be ranked separately and funded in rank order for each CD-TA program. Irrespective of final scores, HUD may apply program policy criteria to select one applicant in each of the four (CDBG, CHDO, HOME and SHP) CD-TA programs in each Field Office, to ensure diversity of methods, approaches, or kinds of projects. HUD will apply these program policy criteria to provide coverage of CD-TA services

for minorities; women, particularly women in the homebuilding professions under section 233(b)(7) of the Cranston-Gonzalez National Affordable Housing Act; persons with disabilities; homeless; persons with special needs; and rural areas.

(4) In addition to the authority in the General Section to adjust funding, HUD reserves the right to adjust funding levels for each applicant for each CD-TA program, as follows:

(a) Award additional funds to organizations designated as lead CD-TA providers as discussed in Section IV(A)(2)(b) of this CD-TA Program section of the SuperNOFA;

(b) Adjust funding levels for any provider based upon the size and needs of the provider's service area within each Field Office jurisdiction in which the provider is selected to operate, the funds available for that area, the number of other awardees selected in that area, funds available on a national basis for providers that will be operating nationally, or the scope of the technical assistance to be provided;

(c) To negotiate increased grant awards with applicants approved for funding if HUD requests them to offer coverage to geographic areas for which they did not apply or budget, or if HUD receives an insufficient amount of applications.

(5) If funds remain after all selections have been made, remaining funds may be:

(a) Distributed among all HUD Field Offices (in proportion to their fair-share awards) and/or the National Program, or

(b) Made available for other CD-TA program competitions.

(6) If you apply for HOPWA TA funds, you must propose activities that will be carried out on a national or regional basis. With respect to the HOPWA TA program, the amount of funds you request may be adjusted by HUD to ensure that at least \$300,000 of the TA funds will be designated for each of the following four HOPWA TA goals:

(a) Comprehensive Strategies for HIV/AIDS Housing;

(b) Sound Management of HOPWA Programs;

(c) Use of HUD Information Management Tools; and

(d) National HOPWA Information.

If the highest rated application fails to adequately address one or more of the HOPWA TA goals, HUD reserves the right after selecting the highest rated application, to also provide funds to address the goal(s) that is not addressed by: selecting an application that does address this goal(s) in the rank order of all applications that address this goal(s); or, if no application is found to

adequately address this goal(s), by modifying the proposed program of the selected application(s) to address this goal(s). To ensure that activities are carried out on a national basis, HUD may also modify the service area of a selected application, if practicable.

(B) *Factors for Award Used to Evaluate and Rate Applications.* The factors and maximum points for each factor are provided below. The maximum number of points to be awarded for a CD-TA application is 100. The minimum score for an applicant to be considered in funding range is 55, with a minimum of 11 points in Factor 1 and 9 points in Subfactor 2 of Factor 3. The CD-TA program is not an eligible program for the EZ/EC bonus points, as described in Section III(C)(1) of the General Section of the SuperNOFA.

Rating of the "applicant" or the "applicant's organization and staff", unless otherwise specified, will include any sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to the project.

When addressing the Factors for Award, the applicant should discuss the specific TA projects, activities, tasks, etc. that it suggests be carried out during the term of the cooperative agreement. See Sections IV(A)(2) and (3) for a discussion of the extent to which such activities may be revised at or after the time of award.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points) (Minimum for Funding Eligibility—11 Points)

In rating this factor, HUD will consider the extent to which the application demonstrates in relation to CD-TA program funding that is requested:

(1) (10 points) Recent, relevant and successful experience of your organization and staff in providing technical assistance in all eligible activities and to all eligible entities for the CD-TA program(s) applied for, as described in the regulations;

(2) (5 points) The relevant experience and competence of your key personnel in managing complex, multi-faceted or multi-disciplinary programs that require coordination with other CD-TA entities or multiple, diverse units in an organization;

(3) (5 points) You have sufficient personnel or access to qualified experts or professionals to deliver the proposed level of technical assistance in each proposed service area in a timely and effective fashion.

**Rating Factor 2: Potential Effectiveness of the Application in Meeting Needs of Target Groups/Localities and Accomplishing Project Objectives for Each CD-TA Program for Which Funds Are Requested (20 Points)**

In rating this factor, HUD will consider the extent to which your application:

(1) (10 points) Identifies high priority needs and issues for the CD program in each community or Field Office jurisdiction for which CD-TA funding is requested, or on a national or regional basis for national HOPWA grants;

(2) (5 points) Outlines a clear and cost-effective plan of suggested TA activities for addressing those needs and aiding a broad diversity of eligible grantees and/or beneficiaries, including those which traditionally have been under-served; and

(3) (5 points) Identifies creative activities to assist eligible grantees in participating in the development of, and improving, local Consolidated Plans and comprehensive strategies.

**Rating Factor 3: Soundness of Approach (40 Points)**

In rating this factor, HUD will consider the extent to which your application evidences a sound approach in addressing identified needs and:

(1) (15 points) Provides a cost effective plan for designing, organizing, and carrying out the suggested technical assistance activities within the framework of the Demand/Response System or, for HOPWA TA applicants, in addressing the four HOPWA TA goals on a national or regional basis.

(2) (15 points) (Minimum for Funding Eligibility—9 points) Demonstrates an effective outreach and assistance program to previously underserved disadvantaged communities and/or organizations with the potential to participate in CPD programs.

(3) (5 points) Provides for full geographic coverage, including urban and rural areas, (directly or through a consortium of providers) of a single State or Field Office jurisdiction or is targeted to address the needs of rural areas, minority groups or other under-served groups, or for HOPWA TA applicants, addresses national or regional approaches;

(4) (5 points) Proposes a feasible, creative plan, which uses state of the art or new promising technology, to transfer models and lessons learned in each of its CD-TA program's activities to grantees and/or program beneficiaries in other CD-TA programs.

**Rating Factor 4: Leveraging Resources (10 Points)**

This factor addresses your ability to secure community resources (note: financing is a community resource) which can be combined with HUD's program resources to achieve program purposes. In evaluating this factor HUD will consider:

The extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of the proposed program activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of the award you are seeking. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities willing to partner with the applicant. You also may partner with other program funding recipients to coordinate the use of resources in the target area.

You must provide evidence of leveraging/partnerships by including in the application letters of firm commitments, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

**Rating Factor 5: Comprehensiveness and Coordination (10 Points)**

This factor addresses the extent to which the applicant coordinated its activities with other known organizations, participates or promotes participation in a community's Consolidated Planning process and Continuum of Care homeless assistance strategy, and is working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community.

In evaluating this factor, HUD will consider the extent to which you demonstrates you have:

(1) Coordinated your proposed activities with those of other groups or organizations prior to submission in order to best complement, support and coordinate all known activities and if funded, the specific steps it will take to share information on solutions and

outcomes with others. Describe any written agreements, memoranda of understanding in place, or that will be in place after award.

(2) Taken or will take specific steps to work with recipients of technical assistance services become active in the community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address a need/problem that is related to the activities the applicant proposes.

(3) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

(a) Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and

(b) Other Federal, State or locally funded activities, including those proposed or on-going in the community.

**VI. Application Submission Requirements**

In addition to the forms, certifications and assurances listed in Section II(G) of the General Section of the SuperNOFA, your application must, at a minimum, contain the following items, (except that the following paragraphs (C), (D), (E), (F), (G) and (H) do not apply to HOPWA TA applicants):

(A) Transmittal Letter which identifies the SuperNOFA, the CD-TA programs for which funds are requested and the dollar amount requested for each program, and the applicant or applicants submitting the application. If your organization has never received a HUD technical assistance award, please include a statement to this effect in the transmittal letter.

(B) Narrative statement addressing the Factors for Award described in Section V(B) of this CD-TA Program section of this SuperNOFA. You should number the narrative response in accordance with each factor for award. This narrative statement will be the basis for evaluating your application. It should include a plan of suggested TA activities as described in Factors 2, 3, and elsewhere. These suggested TA activities may form a starting point for negotiating the TADP described in Section IV(A)(3) of this CD-TA Program section of the SuperNOFA. However, they are used primarily for purposes of rating and evaluation and may be substantially altered and revised during negotiations with the Field Offices on the content of the TADPs (see Section IV(A)(3) or Headquarters program office for national projects.

(C) Statement that identifies the Field Office jurisdictions in which you propose to offer services. If you will not offer services throughout the full jurisdictional area of the Field Office, your statement should identify the service areas involved (e.g., States, counties, etc.), as well as the communities in which you propose to offer services.

(D) A matrix that summarizes the amount of funds you are requesting for each CD-TA program in each Field Office jurisdiction. (See CD-TA Appendix B for a copy of the matrix to be submitted.)

(E) A statement as to whether you propose to use pass-through funds for CHDOs under the CHDO TA program, and, if so, the amount and proposed uses of such funds.

(F) If applying for the CHDO TA program, a certification as to whether you qualify as a primarily single-State provider under section 233(e) of the Cranston-Gonzalez Affordable Housing Act and as discussed in Section III(C)(3) of the CD-TA Program section of this SuperNOFA.

(G) A statement as to whether you propose to be considered for the role of lead CD-TA provider in one or more specific program areas in a Field Office jurisdiction, and if so, your organization's capabilities and attributes that qualify you for the role.

(H) Budget identifying costs for implementing the plan of suggested TA activities by cost category for each CD-TA program for which funds are requested by Field Office or as a National Provider (in accordance with the following):

(1) Direct Labor by position or individual, indicating the estimated hours per position, the rate per hour, estimated cost per staff position and the total estimated direct labor costs;

(2) Fringe Benefits by staff position identifying the rate, the salary base the rate was computed on, estimated cost per position, and the total estimated fringe benefit cost;

(3) Material Costs indicating the item, quantity, unit cost per item, , estimated cost per item, and the total estimated material costs;

(4) Transportation Costs, as applicable.

(5) Equipment charges, if any. Equipment charges should identify the type of equipment, quantity, unit costs and total estimated equipment costs;

(6) Consultant Costs, if applicable. Indicate the type, estimated number of consultant days, rate per day, total estimated consultant costs per consultant and total estimated costs for all consultants;

(7) Subcontract Costs, if applicable. Indicate each individual subcontract and amount;

(8) Other Direct Costs listed by item, quantity, unit cost, total for each item listed, and total other direct costs for the award;

(9) Indirect Costs should identify the type, approved indirect cost rate, base to which the rate applies and total indirect costs.

These line items should total the amount requested for each CD-TA program area. The grand total of all CD-TA program funds requested should reflect the grand total of all funds for which application is made.

## VII. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

## VIII. Environmental Requirements

In accordance with 24 CFR 50.19(b)(9) and 58.34(a)(9), the assistance provided

by these programs relates only to the provision of technical assistance and is categorically excluded from the requirements of the National Environmental Policy Act and not subject to environmental review under the related laws and authorities. This determination is based on the ineligibility of real property acquisition, construction, rehabilitation, conversion, leasing or repair for HUD assistance under these technical assistance programs.

## IX. Authority

*CDBG Technical Assistance.* The Community Development Block Grant Technical Assistance Program is authorized under Title I of the Housing and Community Development Act of 1974, (42 U.S.C. 5301-5320; 24 CFR 570.402).

*CHDO Technical Assistance.* The CHDO Technical Assistance Program is authorized by the HOME Investment Partnerships Act (42 U.S.C. 12773); 24 CFR part 92.

*HOME Technical Assistance.* The HOME Technical Assistance Program is authorized by the HOME Investment Partnerships Act (42 U.S.C. 12781-12783); 24 CFR part 92.

*SHP Technical Assistance.* The Supportive Housing Program is authorized under 42 U.S.C. 11381 *et seq.*; 24 CFR 583.140.

*HOPWA Technical Assistance.* The HOPWA Technical Assistance program is authorized under the Department's FY 1999 appropriation act. The HOPWA program is authorized under the AIDS Housing Opportunities Act (42 U.S.C. 12901) and the HOPWA regulations are found at 24 CFR part 574.

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**Appendix A to CD-TA Program: "Fair-Share" Amounts Allocated  
to Each HUD CPD Office**

HUD CPD Field Office	CDBG TA	CHDO TA Single State	CHDO TA Multi-State	HOME TA	SHP TA	HOPWA TA
Alabama State Office	\$40,000	\$41,400	\$53,550	\$80,600	\$40,000	
Alaska State Office	\$40,000	\$23,640	\$30,300	\$45,600	\$40,000	
Arkansas State Office	\$40,000	\$35,280	\$45,645	\$68,700	\$40,000	
California State Office	\$153,200	\$247,320	\$319,455	\$480,900	\$181,600	
Los Angeles Area Office	\$157,000	\$253,440	\$327,360	\$492,800	\$191,300	
Caribbean Office	\$40,000	\$64,800	\$83,700	\$126,000	\$40,000	
Colorado State Office	\$83,950	\$135,360	\$174,840	\$263,200	\$40,000	
Connecticut State Office	\$40,000	\$52,920	\$68,355	\$102,900	\$40,000	
District of Columbia Office	\$40,000	\$52,920	\$68,385	\$103,000	\$62,500	
Florida State Office	\$40,000	\$59,040	\$76,260	\$114,800	\$52,800	
Jacksonville Area Office	\$43,750	\$70,560	\$91,140	\$137,200	\$40,000	
Georgia State Office	\$43,750	\$70,560	\$91,140	\$137,200	\$40,000	
Hawaii State Office	\$40,000	\$23,640	\$30,300	\$45,600	\$40,000	
Illinois State Office	\$91,200	\$147,240	\$190,185	\$286,300	\$109,300	
Indiana State Office	\$43,750	\$70,560	\$91,140	\$137,200	\$40,000	
Kansas/ Missouri State Office	\$40,000	\$64,800	\$83,700	\$126,000	\$40,000	

HUD CPD Field Office	CDBG TA	CHDO TA Single State	CHDO TA Multi-State	HOME TA	SHP TA	HOPWA TA
St. Louis Area Office	\$40,000	\$35,280	\$45,645	\$68,700	\$40,000	
Kentucky State Office	\$40,000	\$41,400	\$53,550	\$80,600	\$40,000	
Louisiana State Office	\$40,000	\$52,920	\$68,355	\$102,900	\$40,000	
Maryland State Office	\$40,000	\$35,280	\$45,645	\$68,700	\$40,000	
Massachusetts State Office	\$91,200	\$147,240	\$190,185	\$286,300	\$136,700	
Michigan State Office	\$76,700	\$123,840	\$159,960	\$240,800	\$103,500	
Minnesota State Office	\$40,000	\$52,920	\$68,355	\$102,900	\$40,000	
Mississippi State Office	\$40,000	\$35,280	\$45,645	\$68,700	\$40,000	
Nebraska State Office	\$40,000	\$47,160	\$60,990	\$91,800	\$40,000	
New Jersey State Office	\$76,700	\$123,840	\$159,960	\$240,800	\$40,000	
New Mexico State Office	\$40,000	\$23,640	\$30,300	\$45,600	\$40,000	
New York State Office	\$98,600	\$159,120	\$205,530	\$309,400	\$179,700	
Buffalo Area Office	\$175,100	\$282,960	\$365,490	\$550,200	\$43,100	
North Carolina State Office	\$43,750	\$70,560	\$91,140	\$137,200	\$40,000	
Ohio State Office	\$87,650	\$141,480	\$182,745	\$275,100	\$78,000	
Oklahoma State Office	\$40,000	\$41,400	\$53,550	\$80,600	\$40,000	
Oregon State Office	\$40,000	\$47,160	\$60,990	\$91,800	\$40,000	
Pennsylvania State Office	\$76,700	\$123,840	\$159,960	\$240,800	\$80,000	

HUD CPD Field Office	CDBG TA	CHDO TA Single State	CHDO TA Multi-State	HOME TA	SHP TA	HOPWA TA
Pittsburgh Area Office	\$43,750	\$70,560	\$91,140	\$137,200	\$43,100	
South Carolina State Office	\$40,000	\$59,040	\$76,260	\$114,800	\$40,000	
Tennessee Knoxville Area Office	\$40,000	\$59,040	\$76,260	\$114,800	\$40,000	
Texas State Office	\$105,800	\$171,000	\$220,875	\$332,500	\$66,400	
San Antonio Area Office	\$40,000	\$47,160	\$60,915	\$91,800	\$40,000	
Virginia State Office	\$40,000	\$52,920	\$68,355	\$102,900	\$40,000	
Washington State Office	\$47,450	\$76,680	\$99,045	\$149,100	\$50,900	
Wisconsin State Office	\$40,000	\$64,800	\$83,700	\$126,000	\$41,100	
National			\$750,000	\$1,000,000		\$2,250,000
Total	\$2,500,000	\$3,600,000	\$5,400,000	\$8,000,000	\$2,500,000	\$2,250,000

## Appendix B to CD-TA Program - Matrix of Amount of Funds Requested

HUD CPD Field Office	CDBG TA	CHDO TA Single State	CHDO TA Multi-State	HOME TA	SHP TA	HOPWA TA
Alabama State Office						
Alaska State Office						
Arkansas State Office						
California State Office						
Los Angeles Area Office						
Caribbean Office						
Colorado State Office						
Connecticut State Office						
District of Columbia Office						
Florida State Office						
Jacksonville Area Office						
Georgia State Office						
Hawaii State Office						
Illinois State Office						
Indiana State Office						
Kansas/ Missouri State Office						

HUD CPD Field Office	CDBG TA	CHDO TA Single State	CHDO TA Multi-State	HOME TA	SHP TA	HOPWA TA
St. Louis Area Office						
Kentucky State Office						
Louisiana State Office						
Maryland State Office						
Massachusetts State Office						
Michigan State Office						
Minnesota State Office						
Mississippi State Office						
Nebraska State Office						
New Jersey State Office						
New Mexico State Office						
New York State Office						
Buffalo Area Office						
North Carolina State Office						
Ohio State Office						
Oklahoma State Office						
Oregon State Office						
Pennsylvania State Office						



HUD CPD Field Office	CDBG TA	CHDO TA Single State	CHDO TA Multi-State	HOME TA	SHP TA	HOPWA TA
Pittsburgh Area Office						
South Carolina State Office						
Tennessee Knoxville Area Office						
Texas State Office						
San Antonio Area Office						
Virginia State Office						
Washington State Office						
Wisconsin State Office						
National						
Total						
Grand Total						

\* Grand Total must equal total amount of funds requested



**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**COMMUNITY OUTREACH  
PARTNERSHIP CENTERS**



### **Funding Availability for the Community Outreach Partnership Centers Program Overview**

**Purpose of the Program.** To provide funds to community colleges, four-year colleges, and universities to establish and operate Community Outreach Partnership Centers (COPCs) to address the problems of urban areas.

**Available Funds.** Approximately \$7.5 million.

**Eligible Applicants.** Public and private profit and nonprofit institutions of higher education granting two- or four-year degrees and accredited by a national or regional accrediting agency recognized by the U.S. Department of Education.

**Application Deadline.** June 9, 1999.

**Match.** 50% of the total costs of establishing and operating research activities and 25% of the total costs of establishing and operating outreach activities.

#### **Additional Information:**

If you are interested in applying for funding under this program, please review carefully the General Section of this SuperNOFA and the following additional information.

### **I. Application Due Date, Application Kits, Further Information, and Technical Assistance**

**Application Due Date.** Your completed application is due on or before 12:00 midnight, Eastern time on June 9, 1999, at HUD Headquarters. See the General Section of this SuperNOFA for specific procedures governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

**Address for Submitting Applications.** Submit your completed application (one original and two copies) to: Processing and Control Branch, Office of Community Planning and Development, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7251, Washington, DC 20410. When submitting your application, please refer to COPC and include your name, mailing address (including zip code) and telephone number (including area code).

**For Application Kits.** For an application kit and supplemental information you should call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-483-2209. When requesting an application kit, you should refer to COPC and provide your name, address (including zip code), and telephone number

(including area code). You may also download the application kit on the Internet through the HUD web site at <http://www.hud.gov>.

**For Further Information.** For answers to your questions, you have several options. You may contact Jane Karadbil of HUD's Office of University Partnerships at (202) 708-1537, ext. 5918. If you have a speech or hearing impairment, you may call HUD's TTY number (202) 708-0770, or 1-800-877-8399 (the Federal Information Relay Service TTY). Other than the "800" number, these numbers are not toll-free. You may also reach Ms. Karadbil via the Internet at [Jane\\_R\\_Karadbil@hud.gov](mailto:Jane_R_Karadbil@hud.gov).

**For Technical Assistance.** HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of an application. For more information about the date and time of this broadcast, you should consult the HUD web site at the web address listed above.

### **II. Amount Allocated**

Up to \$7.5 million to fund grants under the program. This year, HUD will award two kinds of grants—(A) New Grants to applicants who have never received a COPC grant before to undertake eligible work and (B) New Directions Grants to fund previous COPC recipients (as identified in III.(B) below) to undertake new directions in their activities. Institutionalization Grants will not be funded under this funding announcement for COPC. HUD will use up to \$6.6 million to fund New Grants and up to \$900,000 to fund New Directions Grants.

### **III. Program Description; Eligible Applicants; Eligible Activities**

(A) **Program Description.** The purpose of this COPC Program is to assist in establishing or carrying out outreach and applied research activities addressing the problems of urban areas. Funding under this program is used to establish and operate local Community Outreach Partnership Centers (COPC).

The five key concepts that your COPC Program should include are:

(1) You should provide outreach, technical assistance, applied research, and empowerment to neighborhoods and neighborhood-based organizations based on what the residents decide is needed, not based on what the institution thinks is appropriate for that neighborhood;

(2) Community-based organizations should be your partners throughout the life of the project, from planning to implementation;

(3) Your applied research should be related to the outreach activities and be

used to influence your activities within the grant period or shortly after it ends. HUD will not fund research without practical application;

(4) The assistance you provide should be primarily by faculty, students, or to a limited extent, by neighborhood residents or community-based organizations funded by the university; and

(5) Your program should be part of your institution's broader effort to meet its urban mission, and be supported by senior officials, rather than just the work of a few faculty members. Your proposed activities should not duplicate those of other entities in the community and should be appropriate for an institution of higher education to undertake in light of its teaching and research missions.

(B) **Eligible Applicants.** Eligible applicants for both New Grants and New Directions Grants are public or private nonprofit institutions of higher education granting two- or four-year degrees and accredited by a national or regional accrediting agency recognized by the U.S. Department of Education. For New Grants, only applicants that have never previously received a New Grant or an Institutionalization Grant are eligible. For New Directions Grants, only COPC grantees who received grants in Fiscal Years 1994, 1995, or 1996 are eligible. Joint Community Development Program grantees are not eligible for either kind of funding, nor are FY 1997 and 1998 COPC Grantees.

Consortia of eligible institutions may apply, as long as one institution is designated the lead applicant. Since the Statement of Work and other facets of the technical review are assessed in the context of the proposed staffing, and in order to fund as many eligible applicants as possible, HUD has determined that you may be part of only one consortium or submit only one application or you will be disqualified. HUD will hold you responsible for ensuring that neither you nor any part of your institution, including specific faculty, participate in more than one application. For New Directions Grants, if you originally received funding as a consortium, you are not required to submit again with all the consortium members. Members of a previously approved consortium may submit on their own or as part of their old consortium. However, as with New Grants, only one application from an institution will be permitted.

Different campuses of the same university system are eligible to apply, even if one campus has already received COPC funding. Such campuses are eligible as separate applicants only if

they have administrative and budgeting structures independent of other campuses in the system.

(C) *Eligible Activities.* Your COPC Program must combine research with outreach, work with communities and local governments and address the multidimensional problems that beset urban areas. To meet the threshold requirements, your application should be multifaceted and address three or more urban problems. You should address urban problems associated with housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning, community organizing, and other areas deemed appropriate by the Secretary. Single purpose applications are not eligible.

Funded research must have a clear near-term potential for solving specific, significant urban problems. You must have the capacity to apply your research results and to work with communities and local institutions, including neighborhood groups and other appropriate community stakeholders, in applying these results to specific real-life urban problems.

While the list of eligible and ineligible activities is the same for both New Grant applicants and New Directions Grant applicants, New Directions Grant applicants must demonstrate that the proposed activities either implement new eligible projects in the current target neighborhood(s) or implement eligible projects in a new target neighborhood(s).

Eligible activities include:

(1) Research activities that have practical application for solving specific problems in designated communities and neighborhoods, including evaluation of the effectiveness of the outreach activities. In order to ensure that the primary focus of your project is on outreach, research may not total more than one-quarter of the total project costs contained in any grant made under this COPC funding announcement (including the required 50% match).

(2) Outreach, technical assistance and information exchange activities which are designed to address specific urban problems in designated communities and neighborhoods. Such activities must total no less than three-quarters of your total project costs (including the required 25% match). Examples of outreach activities include, but are not limited to:

(a) Job training and other training projects, such as workshops, seminars and one-on-one and on-the-job training;

(b) Design of community or metropolitan strategies to resolve urban problems of communities and neighborhoods;

(c) Innovative use of funds to provide direct technical expertise and assistance to local community groups, residents, and other appropriate community stakeholders to assist them in resolving local problems such as homelessness, housing discrimination, and impediments to fair housing choice;

(d) Technical assistance in business start-up activities for low- and moderate-income individuals and organizations, including business start-up training and technical expertise and assistance, mentor programs, assistance in developing small loan funds, business incubators, etc;

(e) Technical assistance to local public housing authorities on welfare-to-work initiatives and physical transformations of public or assisted housing, including development of accessible and visitable housing;

(f) Assistance to communities to improve consolidated housing and community development plans and remove impediments to design and implementation of such plans;

(g) Assistance to communities to improve their fair housing planning process;

(h) Services to assist low-income students to attend college, as part of the U.S. Department of Education's Gaining Awareness and Readiness for Undergraduate Program (GEAR UP). (For more information call 1-800-USA-LEARN or visit the Department of Education's website at [www.ed.gov](http://www.ed.gov)); and

(i) Regional projects that maximize the interaction of targeted inner city distressed neighborhoods with suburban job opportunities similar to HUD's Bridges-to-Work or Moving to Opportunity programs.

(3) Funds for faculty development including paying for course time or summer support to enable faculty members to work on the COPC.

(4) Funds for stipends for students (which cannot cover tuition and fees) when they are working on the COPC.

(5) Activities to carry out the "Responsibilities" listed under Section IV(B) below. These activities may include leases for office space in which to house the Community Outreach Partnership Center, under the following conditions:

(a) The lease must be for existing facilities not requiring rehabilitation or consultation;

(b) No repairs or renovations of the property may be undertaken with Federal funds; and

(c) Properties in the Coastal Barrier Resource System designated under the Coastal Barrier Resources Act (16 U.S.C. 3501) cannot be leased with Federal funds.

(6) Components of your program may address metropolitan or regional strategies. You must clearly demonstrate how:

(a) Your strategies are directly related to what the targeted neighborhoods and neighborhood-based organizations have decided is needed; and

(b) Neighborhoods and neighborhood organizations are involved in the development and implementation of the metropolitan or regional strategies.

(D) *Ineligible Activities.* (1) Research activities that have no clear and immediate practical application for solving urban problems or do not address specific problems in designated communities and neighborhoods.

(2) Any type of construction, rehabilitation, or other physical development costs.

(3) Costs used for routine operations and day-to-day administration of institutions of higher education, local governments or neighborhood groups.

#### IV. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, grantees must meet the following program requirements:

(A) *Grant Sizes and Terms.* Each New Grant will be for a three-year period. In order to ensure that as many eligible applicants are funded as possible, HUD has set the maximum size of any New Grant at \$400,000. Because these projects are quite complex, HUD has also set the minimum grant size at \$250,000. Since the Statement of Work and other facets of the technical review are assessed in the context of the proposed budget and grant request, and in the interest of fairness to all applicants, HUD will not accept a New Grant application that is under \$250,000 or over \$400,000.

Each New Directions Grant will be for a two-year period. HUD has set the maximum size of any New Directions Grant at \$150,000. Since the Statement of Work and other facets of the technical review are assessed in the context of the proposed budget and grant request, and in the interest of fairness to all applicants, HUD will not accept a New Directions application that is over \$150,000.

(B) *Responsibilities.* You are required to:

(1) Employ the research and outreach resources of your institution of higher education to solve specific urban

problems identified by communities served by your Center;

(2) Establish outreach activities in areas identified in your application as the communities to be served;

(3) Establish a community advisory committee comprised of representatives of local institutions and residents of the communities to be served to assist in identifying local needs and advise on the development and implementation of strategies to address those issues;

(4) Coordinate outreach activities in communities to be served by your Center;

(5) Facilitate public service projects in the communities served by your Center;

(6) Act as a clearinghouse for dissemination of information;

(7) Develop instructional programs, convene conferences, and provide training for local community leaders, when appropriate; and

(8) Exchange information with other Centers.

The clearinghouse function in (6) above refers to a local or regional clearinghouse for dissemination of information and is separate and distinct from the functions in (8) above, which relate to the provision of information to the University Partnerships Clearinghouse, which is the national clearinghouse for the program.

(C) *Cap on Research Costs.* No more than 25% of your total project costs (Federal share plus match) can be spent on research activities.

(D) *Match.* The non-Federal share may include cash or the value of non-cash contributions, equipment and other allowable in-kind contributions as detailed in 24 CFR part 84, and in particular § 84.23 entitled "cost sharing or matching." You may not count as match any costs that would be ineligible for funding under the program (e.g., housing rehabilitation).

(1) If you are a New Grant applicant, you must meet the following match requirements:

(a) *Research Activities.* 50% of the total project costs of establishing and operating research activities.

(b) *Outreach Activities.* 25% of the total project costs of establishing and operating outreach activities.

(2) If you are a New Directions Grant applicant, you must meet the following match requirements:

(a) *Research Activities.* 60% of the total project costs of establishing and operating research activities.

(b) *Outreach Activities.* 35% of the total project costs of establishing and operating outreach activities.

An example of how you should calculate the match is included in the application kit.

(E) *Administrative.* Your grant will be governed by the provisions of 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations), A-21 (Cost Principles for Education Institutions), and A-133 (Audits of States, Local Governments, and Non-Profit Organizations). You may not spend more than 20% of your grant on planning or administrative costs. The application kit contains a detailed explanation of what these costs are. You can access the OMB circulars at the White House website at <http://whitehouse.gov/WH/EOP/OMB/html/circulars>.

## V. Application Selection Process

There will be two separate competitions—one for New Grants and one for New Directions Grants. For each type of grant, applications will be rated, ranked, and selected separately. Two types of reviews will be conducted: a threshold review to determine your applicant eligibility; and a technical review to rate your application based on the rating factors in this Section, paragraph C below.

(A) *Additional Threshold Requirements For Funding Consideration.* Under the threshold review, you will be rejected from the competition if you are not in compliance with the requirements of the General Section of the SuperNOFA or if you do not meet the following additional standards:

(1) You have met the statutory match requirements, if applying for a New Grant or the higher match levels described above, if applying for a New Directions Grant.

(2) You have proposed a program in which at least 75% of the total project costs will be for outreach activities.

(3) For New Grants, you have requested a Federal grant between \$250,000 and \$400,000 over the three-year grant period. For New Directions Grants, you have requested a Federal grant that is no more than \$150,000 over the two-year grant period.

(4) You have addressed at least three urban issues, such as affordable housing, fair housing, economic development, neighborhood revitalization, infrastructure, health care; job training, education, crime prevention, planning, and community organizing.

(5) You and any part of your organization are participating in only one application.

(B) *Factors For Award Used To Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are

provided below. The maximum number of points for this program is 102. This includes two EZ/EC bonus points, as described in the General Section of the SuperNOFA.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 Points)

This factor addresses the extent to which you have the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor HUD will consider the extent to which the proposal demonstrates:

(1) For New Grants (15 points): For New Direction Grants (10 points).

(a) The knowledge and experience of your overall proposed project director and staff, including the day-to-day program manager, consultants and contractors in planning and managing programs for which funding is being requested. Experience will be judged in terms of recent, relevant and successful experience of your staff to undertake eligible program activities. In rating this factor, HUD will consider experience within the last 5 years to be recent; experience pertaining to the specific activities being proposed to be relevant; and experience producing specific accomplishments to be successful. The following categories will be evaluated:

(i) Undertaking research activities in specific communities that have a clear near-term potential for practical application to significant urban issues, such as affordable housing, fair housing including accessible and visitable housing, economic development, neighborhood revitalization, infrastructure, health care, job training, education, crime prevention, planning, and community organizing;

(ii) Undertaking outreach activities in specific communities to solve or ameliorate significant urban issues;

(iii) Undertaking projects with community-based organizations or local governments; and

(iv) Providing leadership in solving community problems and making national contributions to solving long-term and immediate urban problems.

(2) For New Directions Grants only (5 points). The extent to which you performed successfully under your previous COPC grant(s), as measured by:

(a) Your achievement of specific measurable outcome objectives; and

(b) Your leveraging of funding beyond the funds originally proposed to be leveraged for that project.

**Rating Factor 2: Need/Extent of the Problem (15 Points)**

This factor addresses the extent to which there is a need for funding your proposed program activities and your indication of the urgency of meeting the need in the target area. In responding to this factor, you will be evaluated on the extent to which you document the level of need for the proposed activity and the urgency in meeting the need.

You should use statistics and analyses contained in a data source(s) that:

(1) Is sound and reliable. To the extent that the targeted community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, you should include references to these documents in your response. The Department will review your application more favorably if you used these documents to identify need, when applicable.

If the proposed activity is not covered under the scope of the Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI), you should indicate such, and use other sound data sources to identify the level of need and the urgency in meeting the need. Types of other sources include Census reports, Continuum of Care gaps analysis, law enforcement agency crime reports, Public Housing Authorities' Comprehensive Plan, and other sound and reliable sources appropriate for your program. You may also address needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements.

(2) To the extent possible, the data you use should be specific to the area where the proposed activity will be carried out. You should document needs as they apply to the area where activities will be targeted, rather than the entire locality or state, unless the target area is an entire locality or state.

**Rating Factor 3: Soundness of Approach (50 Points)**

This factor addresses the quality and cost-effectiveness of your proposed work plan. There must be a clear relationship between your proposed activities, community needs and the purpose of the program funding for you to receive points for this factor. The factor will be evaluated based on the extent to which the proposed work plan will:

(1) (10 points) Identify the specific services or activities to be performed. In reviewing this subfactor HUD will consider the extent to which:

(a) Your proposal outlines a clear research agenda, based on your familiarity with existing research on the subject.

(b) You demonstrate how the research will fit into and strengthen the outreach strategy and activities. For example, if you propose to study the extent of housing abandonment in a neighborhood and then design a plan for reusing this housing, you would be able to demonstrate the link between your proposed research and outreach strategies.

(c) Your plan outlines a clear outreach agenda and there is a plan for involving your institution as a whole in the execution of your outreach strategy. Your outreach program should provide for on-site or a frequent presence in the targeted communities and neighborhoods.

(d) Your outreach agenda includes training projects for local community leaders, for example, to increase their capacity to direct their organizations or undertake various kinds of community development projects.

(e) You demonstrate that your proposed research and outreach activities do not duplicate research and outreach previously completed or currently underway by others.

(f) You propose activities that are appropriate for an institution of higher education because they are tied to the institution's teaching or research mission.

(2) (9 points) Involve the communities to be served in implementation of your activities. In reviewing this subfactor, HUD will look at the extent to which:

(a) You have formed or will form one or more Community Advisory Committees, comprised of representatives of local institutions and a balance of the race, ethnic, disability status, gender, and income of the residents of the communities to be served to develop and implement strategies to address the needs identified in Factor 2. You will be expected to demonstrate that you have already formed such a committee(s) or secured the commitment of the appropriate persons to serve on the committee(s), rather than just describing generally the types of people whose involvement you will seek.

(b) You have involved a wide range of neighborhood organizations and local government entities in the identification of your research and outreach activities.

(3) (5 points) Help solve or address an urgent problem as identified in Rating Factor 2 and will achieve the purposes of the program within the grant period. In reviewing this subfactor, HUD will look at the extent to which:

(a) You identify specific time phased and measurable objectives to be accomplished; your proposed short and long term program objectives to be achieved as a result of the proposed activities; the tangible and measurable impacts your work program will have on the community in general and the target area or population in particular including affirmatively furthering fair housing for classes protected under the Fair Housing Act; and the relationship of your proposed activities to other on-going or proposed efforts to improve the economic, social or living environment in the impact area; and

(b) Grant funds will pay for activities you conduct directly, rather than passing funds through to other entities.

(4) (4 points) Potentially yield innovative strategies or "best practices" that can be replicated and disseminated to other organizations, including nonprofit organizations, State and local governments. In reviewing this subfactor, HUD will assess your demonstrated ability to disseminate results of research and outreach activities to other COPCs and communities. HUD will evaluate your past experience and the scope and quality of your plan to disseminate information on COPC results, strategies, and lessons learned through such means as conferences, cross-site technical assistance, publications, etc.

(5) (8 points)

(a) (3 points) Further and support the policy priorities of HUD including:

(i) Promoting healthy homes;  
(ii) Providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs;  
(iii) Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through program policy efforts such as "One Strike and You're Out" or the "Officer Next Door" initiative;

(iv) Providing educational and job training opportunities through such initiatives as Neighborhood Networks, Campus of Learners and linking to AmeriCorps activities.

(b) (5 points) Include activities that affirmatively further fair housing, for example:

(i) Working with other entities in the community to overcome impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending;

(ii) Promoting fair housing choice through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or



(iii) Providing housing mobility counseling services.

(6) For New Grants (14 points): For New Directions Grants (9 points). Result in the COPC function and activities becoming part of the urban mission of your institution and being funded in the future by sources other than HUD. In reviewing this subfactor, HUD will consider the extent to which:

(a) COPC activities relate to your institution's urban mission; are part of a climate that rewards faculty work on these activities through promotion and tenure policies; benefit students because they are part of a service learning program at your institution (rather than just volunteer activities); and are reflected in your curriculum. HUD will look at your institution's commitment to faculty and staff continuing work in COPC neighborhoods or replicating successes in other neighborhoods and to your longer term commitment (e.g., five years after the start of the COPC) of hard dollars to COPC work.

(b) You have received commitments for funding from sources outside the university for related COPC-like projects and activities in the targeted neighborhood or other distressed neighborhoods. Funding sources to be considered include, but are not limited to, local governments, neighborhood organizations, private businesses, and foundations.

(7) For New Direction Grants only (5 points). Previous grantees have a wealth of knowledge that they can and should share with other institutions. If you send a faculty member of your team who has been listed in your application to participate in the peer review process for New Grants, you will receive 5 points.

#### Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses the ability of the applicant to secure community resources which can be combined with HUD's program resources to achieve program purposes. This factor measures the extent to which you have established partnerships with other entities to secure additional resources to increase the effectiveness of your proposed program activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of the award you are seeking. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities willing to establish partnerships with you. You may also establish partnerships with funding recipients in other grant

programs to coordinate the use of resources in the target area. In evaluating this factor, HUD will allocate points as follows:

(1) Up to a total of 5 points will be awarded for a match that is 50% over the required match, as described in Section IV D above.

The Department is concerned that applicants should be providing hard dollars as part of their matching contributions to enhance the tangible resources going into targeted neighborhoods. Thus, while indirect costs can count towards meeting the required match, they will not be used in calculating match overage. Only direct costs can count in this factor.

(2) Up to an additional 5 points will be awarded for the extent to which you document that matching funds are provided from eligible sources other than your institution (e.g., funds from the city, including CDBG, other State or local government agencies, public or private organizations, or foundations).

You must provide evidence of leveraging/partnerships by including in the application letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization. Unless matching funds are accompanied by a commitment letter, they will not be counted towards the match.

#### Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which you coordinated your activities with other known organizations, participate or promote participation in your community's Consolidated Planning process, and are working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community.

In evaluating this factor, HUD will consider the extent to which you have:

(1) (4 points) Coordinated your proposed activities with those of other groups or organizations prior to submission in order to best complement, support and coordinate all known activities and, if funded, the specific steps you will take to share information on solutions and outcomes

with others. Any written agreements, memoranda of understanding in place, or that will be in place after award should be described.

(2) (3 points) Taken or will take specific steps to become active in the community's Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address a need/problem that is related to the activities the applicant proposes.

(3) (3 points) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

(a) Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and

(b) Other Federal, State or locally funded activities, including those proposed or on-going in the community.

(C) *Selections.* In order to be funded under COPC, you must receive a minimum score of 70. HUD intends to fund at least one eligible applicant that serves colonias, as defined by section 916(d) of the Cranston-Gonzalez National Affordable Housing Act, as long as the applicant receives a minimum score of 70.

If two or more applications have the same number of points, the application with the most points for Factor 3, Soundness of Approach, shall be selected. If there is still a tie, the application with the most points for Factor 4, Leveraging Resources shall be selected.

HUD reserves the right to make selections out of rank order to provide for geographic distribution of funded COPCs. If HUD decides to use this option, it will do so only if two adjacent HUD regions do not yield at least one fundable COPC on the basis of rank order. If this occurs, HUD will fund the highest ranking applicant within the two regions as long as the minimum score of 70 points is achieved.

After all applications have been rated and ranked and selections have been made, HUD may require you, if you are selected, to participate in negotiations to determine the specific terms of your Statement of Work and grant budget. In cases where HUD cannot successfully conclude negotiations, or you fail to provide HUD with requested information, an award will not be made. In such instances, HUD may elect to offer an award to the next highest ranking applicant, and proceed with negotiations with that applicant.

After award but before grant execution, if you are selected, you will be required to provide a certification

from an Independent Public Accountant or the cognizant government auditor, stating that the financial management system employed by your institution meets proscribed standards for fund control and accountability required by OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, or 24 CFR part 84, Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, or the Federal Acquisition Regulations (for all other applicants). This information should contain the name and telephone number of the Independent Auditor, cognizant Federal auditor, or other audit agency, as applicable.

#### **VI. Application Submission Requirements**

You should include an original and two copies of the items listed below. In order to be able to recycle paper, please do not submit applications in bound form; binder clips or loose leaf binders are acceptable. Also, please, do not use colored paper. Please note the page limits for some of the items listed below and do not exceed them.

In addition to the forms, certifications and assurances listed in Section II(G) of the General Section, your application must, at a minimum, contain the following items:

(A) *Transmittal Letter* signed by the Chief Executive Officer of your institution or his or her designee. If a designee signs, your application must include the official delegation of signatory authority;

(B) A *Statement of Work* (25 page limit) incorporating all activities to be funded in your application and details how your proposed work will be

accomplished. Following a task-by-task format, the Statement of Work must:

(1) Arrange the presentation of related major activities by project functional category (e.g., economic development, affordable housing, capacity building), summarize each activity, identify the primary persons involved in carrying out the activity, and delineate the major tasks involved in carrying it out.

(2) Indicate the sequence in which the tasks are to be performed, noting areas of work which must be performed simultaneously.

(3) Identify specific numbers of quantifiable intermediate and end products and objectives you will deliver by the end of the award agreement period as a result of the work performed.

(C) *Narrative statement addressing the Factors for Award in Section V (B)*. (25 page limit, including tables and maps, but not including letters of matching commitments). Your narrative response should be numbered in accordance with each factor and subfactor. Please do not repeat material in your Statements of Work or Need; instead focus on how you meet each factor.

(D) *Budget*. Your budget presentation should be consistent with your Statement of Work and include:

(1) Budget Form—The sample budget form included in the application kit should be used to prepare the budget.

(2) A narrative explanation of how you arrived at your cost estimates, for any line item over \$5,000.

(3) A statement of your compliance with the 20% limitation on "Planning and Administration" Costs.

(4) An explanation of your compliance with the requirement that not more than 25% of the total budget be allocated to research activities.

(5) An explanation of your compliance with the matching requirements. More guidance on all of these items is included in the application kit.

(E) *Abstract*. (1 page limit) An abstract describing the goals and activities of your program.

#### **VII. Corrections to Deficient Applications**

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

#### **VIII. Environmental Requirements**

In accordance with 24 CFR 50.19(b) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act and are not subject to environmental review under the related laws and authorities.

#### **IX. Authority**

This program is authorized under the Community Outreach Partnership Act of 1992 (42 U.S.C. 5307 note; hereafter referred to as the "COPC Act"). The COPC Act is contained in section 851 of the Housing and Community Development Act of 1992 (Pub.L. 102-550, approved October 28, 1992) (HCD Act of 1992). Section 801(c) of the HCD Act of 1992 authorizes \$7.5 million for each year of the 5-year demonstration to create Community Outreach Partnership Centers as authorized in the COPC Act. The HUD, VA and Independent Agencies Appropriations Act of 1999 (Pub.L. 105-276, approved October 21, 1998) continued the program beyond the initial five-year demonstration by providing funding for it for FY 1999.

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**DEPARTMENT OF HOUSING  
AND URBAN DEVELOPMENT**

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**HISTORICALLY BLACK COLLEGES  
AND UNIVERSITIES (HBCU)**



## Funding Availability for the Historically Black Colleges and Universities Program

### Program Overview

**Purpose of the Program.** To assist HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

**Available Funds.** Approximately \$9 million.

**Eligible Applicants.** Only HBCUs as determined by the Department of Education in 34 CFR 608.2 in accordance with that Department's responsibilities under Executive Order 12876, dated November 1, 1993, are eligible for funding under the HBCU Program.

**Application Deadline.** June 9, 1999.  
**Match:** None

### Additional Information

If you are interested in applying for funding under the HBCU program, please review carefully the General Section of this SuperNOFA and the following additional information.

### I. Application Due Date, Application Kits, Further Information, and Technical Assistance

**Application Due Date.** Your completed application is due on or before 12:00 midnight, Eastern time on June 9, 1999, at HUD Headquarters with a copy to the appropriate HUD CPD Field Office. See the General Section of this SuperNOFA for specific procedures covering the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

**Address for Submitting Applications.** Submit your original signed application and one copy to the following address: Processing and Control Branch, Office of Community Planning and Development, Department of Housing and Urban Development, 451 Seventh Street, SW, Room 7251, Washington, DC, 20410. When submitting your application, please refer to the HBCU Program, and include your name, mailing address (including zip code) and telephone number (including area code).

**Copies of Applications to HUD Offices.** To facilitate processing and review of your application, submit one copy to the Community Planning and Development (CPD) Director in the appropriate HUD Field Office for the HBCU. The list of HUD Field Offices is included in the application kit.

HUD will accept only one application per HBCU. If HUD receives more than one application from a single HBCU, the application that was received earliest will be considered for funding. All others are ineligible. If HUD receives more than one application simultaneously from an HBCU then all applications will be considered ineligible for funding. You should take this policy into account to ensure that multiple applications are not submitted.

**For Application Kits.** For an application kit and any supplemental information, you should call the SuperNOFA Information Center at 1-800-HUD-8929. If you have a hearing or speech impairment please call the Center's TTY number at 1-800-843-2209. When requesting an application kit, you should refer to the HBCU Program and provide your name, address (including zip code), and telephone number (including area code). You may also download the application on the Internet through the HUD web site at <http://www.hud.gov>.

**For Further Information.** For answers to your questions, you have several options. You may call Ms. Delores Pruden, Historically Black Colleges and Universities Program, Office of Community Planning and Development, Department of Housing and Urban Development, 451 Seventh St. SW, Washington, DC 20410; telephone (202) 708-1590. (This is not a toll-free number.) If you have a hearing or speech impairment, you may access this number via TTY by calling the Federal Information Relay Service toll-free at 1-800-877-8339. You may also obtain information from the HUD Field Office located in your geographic area. The application kit contains the names, addresses and telephone numbers of the HUD Field Offices. For general information and information regarding training on this HBCU Program section of the SuperNOFA, you can call the SuperNOFA Information Center at 1-800-HUD-8929.

### II. Amount Allocated

(A) In order to ensure that some previously unfunded HBCUs will receive awards in this competition, approximately one-fourth of the available funds will be awarded to HBCUs that have not previously been funded under the HUD HBCU program. (The FY 1991 competition was the first funded under the current HBCU Program authorization, section 107(b)(3) of the Housing and Community Development Act of 1974.) Therefore, of the \$9 million in FY 1999 funds made available under this SuperNOFA for the HBCU Program:

(1) Approximately \$2,250,000 million will be awarded to HBCUs that have not received funding in past HUD HBCU competitions under section 107(b)(3) of the Housing and Community Development Act of 1974, as amended. This includes competitions for Fiscal Years 1991 through 1998 ("previously unfunded HBCUs"). Previously unfunded HBCUs are listed in Appendix A of this HBCU Program section of the SuperNOFA.

(2) The remaining approximately \$6,750,000 million of FY 1999 funds will be awarded to HBCUs that have received funding under such competitions ("previously funded HBCUs"). Previously funded HBCUs are listed in Appendix B of this HBCU Program section of the SuperNOFA.

If recaptured funds are made available, those funds will also be divided proportionately between the two types of applicant funding pools; i.e. one fourth to previously unfunded HBCUs and three fourths to previously funded HBCUs.

HUD reserves the right to make awards for less than the maximum amount or less than the amount requested in a particular application. Awards will be made in the form of grants. The maximum amount awarded to previously unfunded applicants will be \$400,000 and the maximum amount awarded to previously funded applicants will be \$500,000.

(B) The maximum period for performance of your proposed program under this SuperNOFA for the HBCU Program is 24 months. The performance period will commence on the effective date of your grant agreement.

### III. Program Description; Eligible Applicants; Eligible Activities

(A) **Program Description.** Approximately \$9,000,000 is available in funding for the Historically Black Colleges and Universities (HBCU) Program. The HBCU Program assists HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development, consistent with the purposes of Title I of the Housing and Community Development Act of 1974, as amended.

(1) For the purposes of this program, the term "locality" includes any city, county, town, township, parish, village, or other general political subdivision of a State or the U.S. Virgin Islands within which an HBCU is located.

(2) If your HBCU is located in a metropolitan statistical area (MSA), as established by the Office of Management and Budget, you may consider your

locality to be one or more of these entities within the entire MSA. The nature of the locality for each HBCU may differ, therefore, depending on its location.

(3) A "target area" is the locality or the area within the locality in which your HBCU will implement its proposed HUD grant activities.

(B) *Eligible Applicants.* Only HBCUs as determined by the Department of Education in 34 CFR 608.2 in accordance with that Department's responsibilities under Executive Order 12876, dated November 1, 1993, are eligible for funding under the HBCU Program. As indicated above, funds available under this program will be split between two classes of HBCU applicant, which will be rated, ranked, and selected separately.

(1) The first category of eligible applicant, previously unfunded HBCUs, includes HBCUs that *have not* received funding under section 107(b)(3)13 of the Housing and Community Development Act of 1974, which includes competitions for Fiscal Years 1991 through 1998.

(2) The second category, previously-funded HBCUs, includes HBCUs that have received funding in past HUD HBCU competitions. Lists of previously unfunded HBCUs and previously funded HBCUs appear as Appendices A and B to the HBCU Program section of the SuperNOFA. HUD will use these lists to determine in which category your application should be considered.

(C) *Eligible Activities.* (1) *General.* Each activity you propose for funding must meet both a Community Development Block Grant (CDBG) Program national objective AND the CDBG eligibility requirements. Eligible activities that may be funded under the HBCU Program are those activities eligible for CDBG funding. The activities are listed in 24 CFR part 570, subpart C, particularly §§ 570.201 through 570.206. Ineligible activities are listed at § 570.207. If you propose an activity which otherwise is eligible it may not be funded if State or local law requires that it be carried out by a governmental entity.

HUD will not fund specific proposed activities that do not meet eligibility requirements (see, particularly, 24 CFR part 570, subpart C), or that do not meet a national objective in accordance with 24 CFR 570.208. The CDBG Publication entitled "Everything You Wanted to Know About CDBG" discusses the regulations, and a copy can be ordered from HUD's SuperNOFA Information Center at 1-800-HUD-8929. Each activity that may be funded under this SuperNOFA for the HBCU Program

must meet one of the three national objectives of the Community Development Block Grant program which are:

- (a) Benefit to low- or moderate-income persons;
- (b) Aid in the prevention or elimination of slums or blight; or
- (c) Meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet such needs.

Criteria for determining whether an activity addresses one or more of these objectives are provided at 24 CFR 570.208. (It is not necessary for you to comply with the requirement that not less than 70% of the grant expenditures be for activities benefiting low and moderate income persons).

(2) *Examples of Eligible Activities.* Examples of activities that generally can be carried out with these funds include, but are not limited to:

- (a) Acquisition of real property;
- (b) Clearance and demolition;
- (c) Rehabilitation of residential structures to increase housing opportunities for low- and moderate-income persons and rehabilitation of commercial or industrial buildings to correct code violations or for certain other purposes; e.g., making accessibility and visitability modifications to housing. If you are proposing to undertake this activity, you will be required to provide reasonable estimates, from a *qualified* entity other than your university, of the cost to complete projects. Such an entity must be involved in the business of housing rehabilitation, construction and/or management;

(d) Direct homeownership assistance to low- and moderate-income persons, as provided in section 105(a)(25) of the Housing and Community Development Act of 1974;

(e) Acquisition, construction, reconstruction, rehabilitation, or installation of public facilities and improvements, such as water and sewer facilities and streets. If you are proposing to undertake this activity, you will be required to provide reasonable estimates, from a *qualified* entity other than you, of the cost to complete projects. Such an entity must be involved in the business of housing rehabilitation, construction and/or management;

(f) Special economic development activities described at 24 CFR 570.203;

(g) Eligible public service activities, including activities that provide a

continuum of care for the homeless; adult basic education classes; GED preparation and testing; HBCU curriculum development of courses which will lead to a certificate or degree in community planning and development; job and career counseling and assessment; citizen participation academies, and public access telecommunications centers including "Campus of Learners" (COL) and "Neighborhood Networks" (NN); social and medical services; fair housing services designed to further the fair housing objectives of the Fair Housing Act (42 U.S.C. 3601-20) by making all persons, without regard to race, color, religion, sex, national origin, family status and/or disability aware of the range of housing opportunities available to them; and/or other support activities for low- and moderate-income residents, senior citizens and youth, including the U.S. Department of Education's Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP). (For more information regarding GEAR UP, call 1-800-USA-LEARN or visit the Department of Education's website at [www.ed.gov](http://www.ed.gov));

(h) Assistance to facilitate economic development by providing technical or financial assistance for the establishment, stabilization, and expansion of microenterprises, including minority enterprises;

(i) Establishment of a Community Development Corporation (CDC) to undertake eligible activities;

(j) Assistance to a community based development organization (CBDO) to carry out a CDBG neighborhood revitalization, community economic development, or energy conservation project, in accordance with 24 CFR 570.204. This could include activities in support of a HUD approved local CDBG Neighborhood Revitalization Strategy (NRS) or HUD approved State CDBG Community Revitalization Strategy (CRS). If you are proposing a Community Development Corporation (CDC) component, it may qualify for CBDO activities; and

(k) Program administration costs related to the planning and execution of community development activities assisted in whole or in part with grant funds. *In order to enhance the capacity of HBCUs eligible under this SuperNOFA, you may propose to use up to 10% of the award funds to acquire technical assistance (TA) from a qualified TA provider to assist you in implementing your proposed activities.* While you are responsible for ensuring that potential TA providers are qualified, we would expect that the most qualified providers would be

entities/organizations that have demonstrated the expertise and capacity to successfully conceptualize, develop and implement community and economic development projects and initiatives similar to those you propose. Previously unfunded HBCUs are particularly encouraged to consider acquiring technical assistance from a qualified HBCU TA provider, as described in the paragraph below entitled "Partnering With A Qualified HBCU Technical Assistance (TA) Provider."

(3) *Activities Designed to Promote Training and Employment Opportunities.* In selecting proposed eligible activities, we urge you to consider undertaking activities designed to promote opportunities for training and employment of low-income residents in connection with HUD initiatives such as "Campus of Learners" (COL) in public housing and "Neighborhood Networks" (NN) in other Federally-assisted or insured housing. We also encourage you, whenever feasible, to propose implementing activities in a Federally-designated Urban or Rural (HUD or Department of Agriculture) Empowerment Zone, Urban or Rural Enterprise Community (EZ or EC), or a HUD-approved local CDBG Neighborhood Revitalization Strategy Area or HUD-approved State CDBG Community Revitalization Strategy Area.

(4) *Use of Grant Funds for Acquisition of Computer Hardware and Software.* We encourage you to propose the use of grant funds, at reasonable levels, for the acquisition of computer hardware and software compatible with Internet access and HUD's Community Planning 2020 Software, if you do not currently have such capability. You may obtain more information on the Community 2020 Software from your local HUD Community Planning and Development Office.

(5) *Use of Grant Funds for the Provision of Public Services.* If you plan to use grant funds to provide public services, you are bound by the statutory requirement that not more than 15% of the total grant amount be used for public service activities. Therefore, you must propose to use at least 85% of the grant amount for activities qualifying under an eligibility category other than public services (as described at 24 CFR 570.201(e)). While HUD encourages HBCUs to use a portion of their grant funds for curriculum development of courses that would lead to a certificate or degree in community planning and development, this activity is considered

a public service and subject to the public service cap of 15%.

(6) *Partnering With A Qualified HBCU Technical Assistance (TA) Provider.* In order to foster further partnerships between HBCUs, you are encouraged to propose using a portion of the award funds to acquire technical assistance from a qualified HBCU to assist you to develop and implement the proposed activities. The cost for the technical assistance must be for post award assistance and must be deemed by HUD as necessary and reasonable for the purposes of the grant. Under no circumstances may an applicant use more than 10 percent of the total HUD grant (not including matching funds, if any) to purchase technical assistance. While you are responsible for ensuring that potential TA providers are qualified, we would expect that the most qualified HBCU TA providers would be previously funded HBCUs that have demonstrated the expertise and capacity to successfully conceptualize, develop and implement community and economic development projects and initiatives, particularly by successfully carrying out activities funded under the HUD HBCU Program.

#### IV. Program Requirements

In addition to the program requirements listed in the General Section of this SuperNOFA, you are subject to the following requirements:

##### (A) Leveraging

Although a match is not required to qualify for funding, if you claim a match, you must provide letters or other documentation evidencing the extent and firmness of commitments of a match from other Federal (e.g., Americorps Programs), State, local, and/or private sources (including the applicant's own resources). These letters or documents must be dated no earlier than the date of this published SuperNOFA. If you have evidence in support of the proposed match commitment, then you are eligible for more rating points than those applicants not having a firm commitment for a match.

##### Potential Sources of Assistance

- State and local governments.
- Housing Authorities.
- Local or national nonprofit organizations.
- Banks and private businesses.
- Foundations.
- Faith Communities.

##### Documentation Requirements

For each match, cash or in kind, you must submit a letter from the provider

on the provider's letterhead. Number each letter as a page in your application. For each match, include a letter from the provider that addresses the following:

- The dollar amount or dollar value of the in-kind goods and/or services committed. For each cash match, the dollar amount in the commitment letter must be consistent with the dollar amount you indicated on the Standard Form (SF) 424 and in the Budget-By-Task;
- How the match is to be used;
- The date the match will be made available and a statement that it will be for the duration of the grant period;
- Any terms and conditions affecting the commitment, other than receipt of a HUD HBCU Grant; and
- The signature of the appropriate executive officer authorized to commit the funds and/or goods and/or services. (See the application kit for a sample commitment letter.)

##### (B) Forms, Certifications and Assurances

The following forms, certifications and assurances are required to be submitted with your application:

- (1) Standard Form (SF) 424 Application for Federal Assistance;
  - (2) Standard Form (SF) 424 B for Non-Construction Programs;
  - (3) Applicant Certification;
  - (4) Certification of Consistency with the Local Consolidated Plan; and
  - (5) Letter Certifying Local Approval.
- (6) Certification Form for EZ/EC bonus points. These bonus points will only be awarded when the HBCU is located within the geographic boundaries of a high performing EZ/EC.

##### (C) Employment of Local Area Residents (Section 3)

Please see Section II(E) of the General Section of this SuperNOFA. The requirements are applicable to certain activities that may be funded under this program section of the SuperNOFA.

#### V. Application Selection Process

##### (A) Rating and Ranking

(1) *Threshold Review.* HUD will conduct a review to insure that applications are complete and consistent with the General Section of the SuperNOFA, this HBCU Program section of the SuperNOFA and the HBCU Program regulations (24 CFR 570.404) before reviewing the application for rating and ranking. The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

(2) *Funding of Applications.* To be considered for funding, your application

must receive a minimum score of 70 out of the possible total of 100 points possible for Factors 1 through 5. In addition, two bonus points may be awarded for EZ/EC, as described in the General Section of the SuperNOFA. Within each category of eligible applicant, HUD will fund applications in rank order, until it has awarded all available funds for that category of applicant, or until there are no fundable applications remaining in that category. If there is a tie in the point scores of two applications, the rank order will be determined by the score on Factor 3, 4, 2, 1, 5 in that order. HUD will give the higher rank to the application with the most points for a factor in the above order. At whichever factor one of the applicants has the higher score, the tie will be broken, and no other scores will be considered for the purpose of breaking the tie.

If funds remain after approving all fundable applications within a category of applicants, HUD may choose to add those funds to the funds available for the other category of applicants.

(3) *After Selection.* After selection, but prior to grant award, you will be required to:

(a) Negotiate. After HUD has rated and ranked all applications and HUD has selected the competition winners, HUD requires that all winners participate in negotiations to determine the specific terms of the Statement of Work and the grant budget. HUD will follow the negotiation procedures described in Section III(D) of the General Section of the SuperNOFA.

(b) Provide Financial Management and Audit Information. If you are selected for funding, you will be required to submit a certification from an Independent Public Accountant, or the cognizant government auditor, stating that the financial management system employed by you meets prescribed standards for fund control and accountability required by OMB Circular A-133, as codified at 24 CFR part 84.

*(B) Factors for Award Used To Evaluate and Rate Applications*

HUD will use the Factors For Award set forth below to evaluate applications. Your application must contain sufficient information for HUD to review it for its merits. The score for each factor will be based on the qualitative and quantitative aspects of your response to that factor. You may use up to a total of twenty-five (25) pages to respond to Factor 1 through 5. This limitation applies to your narrative response, tables, and maps, and NOT to firm commitment letters, the performance

narrative and progress reports for previously-funded HBCUs. Please note that this page limitation is different from last year's in that (1) the page limitation has been decreased and (2) tables and maps are included in the limitation.

*The maximum number of points that may be awarded is 102.* This includes two EZ/EC bonus points, as described in the General Section of the SuperNOFA.

**Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 Points)**

This factor addresses the extent to which you have the organizational resources necessary to successfully implement your proposed activities in a timely manner. In rating this factor, HUD will consider the extent to which:

(1) (10 points) Your application demonstrates the knowledge and experience of the overall project director and staff, including the day-to-day program manager, consultants (including TA providers) and contractors in planning and managing the kinds of programs for which funding is being requested. Experience will be judged in terms of recent, relevant and successful experience of your staff to undertake eligible program activities. In rating this factor, HUD will consider the extent to which your organization and staff have recent, relevant, and successful experience in:

(a) Undertaking specific successful community development projects with community-based organizations or local governments; and

(b) Providing proven leadership in solving community problems which have a direct bearing on the proposed activity.

(c) Also, for previously funded HBCUs, the extent to which you have been successful with past HUD/HBCU projects. For each HUD HBCU grant, you must submit a performance narrative, as outlined in the application package, and copies of the last two progress reports. HUD will consider your performance, including meeting established target dates and schedules, in applying the rating for this subfactor.

(2) (5 points) You propose to partner with a qualified HBCU technical assistance (TA) provider to receive technical assistance. Qualified HBCUs that will provide the technical assistance to other HBCUs responding to this SuperNOFA can also be awarded five (5) points for this subfactor.

Whether you are a TA recipient or a TA provider, you must (a) name the other party to the TA assistance; (b) describe the technical assistance to be provided; (c) state the costs of the technical

assistance; (d) state the duration of the technical assistance; and (e) state the expected results of the technical assistance.

**Rating Factor 2: Need/Extent of the Problem (15 Points)**

This factor addresses the extent to which there is a need for funding your proposed program activities and an indication of the importance of meeting the need in the target area. In responding to this factor, you will be evaluated on the extent to which you *document* the level of need for the proposed activities and the importance of meeting the need.

You should use statistics and analyses contained in a data source(s) that:

(a) Are sound and reliable. To the extent that your community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice (AI) identify the level of the problem and the urgency in meeting the need, you should include references to these documents in your response to this factor. The Department will view your application more favorably if you have used these documents to identify need.

If your proposed activities are not covered under the scope of the Consolidated Plan and AI, you should indicate such, and use other sound data sources to identify the level of need and the urgency in meeting the need. Types of other sources include, but are not limited to, Census reports, HUD's Continuum of Care gaps analysis, law enforcement agency crime reports, Public Housing Authorities' Comprehensive Plan, community needs analysis such as provided by the United Way, local Urban League, the HBCU and other sound and reliable sources appropriate for the HBCU program. You also may address needs in terms of fulfilling court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements.

(b) To the extent possible, the data you use should be specific to the area where the proposed activities will be carried out. You should document needs as they apply to the area where the activities will be targeted, rather than the entire locality or State, unless the target area is the entire locality or State.

**Rating Factor 3: Soundness of Approach (50 Points)**

This factor addresses the quality and cost-effectiveness of your proposed work plan. There must be a clear relationship between the proposed activities, the community's needs and



the purpose of the HUD HBCU Program for you to receive points for this factor.

HUD will consider the effectiveness/impact and feasibility of your work plan in addressing the needs described in your response to Factor 2 (Needs) including the extent to which you will provide geographic coverage for the target area.

(1) *Quality of the Work Plan* (35 Points). Your work plan must incorporate all proposed activities, describing in detail how your activities will alleviate and/or fulfill the needs identified in Factor 2, including how your activities will benefit low-income and elderly residents, welfare recipients, and the working poor in the target area to be served, and how your activities will be implemented. If relocation is to be a part of your work activities, you should discuss your plan for temporary or permanent relocation of occupants of units affected, including storage or moving of household goods, stipends and/or incentives. Your work plan must delineate tasks and subtasks for each activity, and indicate the sequence in which the tasks are to be performed, noting areas of work which must be performed simultaneously. In evaluating this factor, HUD will consider:

(a) *Specific Services or Activities*. (20 points) The extent to which your proposed work program identifies the specific services or activities to be performed. In reviewing this subfactor, HUD will consider the extent to which:

(i) Your proposal outlines a clear agenda based on a thorough familiarity with existing work/activities in the target area. You should demonstrate that your proposed activities do not duplicate work/activities previously completed or work/activities currently underway by others and that they meet a CDBG national objective and are eligible activities under the CDBG program;

(ii) You demonstrate how the activities will fit into and strengthen your role in addressing community development needs in the targeted locality, and how the proposed project will potentially yield innovative strategies or "best practices" that can be duplicated and disseminated to other organizations; and

(iii) Your plan outlines a clear agenda for citizen involvement in the planning and implementation. HUD will look at the extent to which:

- Local community representatives are involved and reflect a balance of race, ethnic, disability, gender and income of the residents of the community to be served, or will be

involved to address the needs identified in Factor 2;

- Evidence is provided that neighborhood organizations and local government entities were invited to, or participated in, the identification of activities to be undertaken; and

- The methods you used for outreach to the community during the development of your application and propose to use for the implementation of the proposed project will be effective.

(b) *Feasibility of Success and Timely Delivery of Products and Implementation*. (10 points) In evaluating this subfactor, HUD will consider the extent to which your proposed activities will achieve the purposes of the program within the grant period, and the extent to which your schedule represents an efficient and feasible plan for implementation of your proposed activities. You should identify measurable objectives to be accomplished during the period of performance e.g., the number of persons to be trained, number of persons to be employed, number of houses to be built (pursuant to 24 CFR 570.207) or rehabilitated, number of minority owned businesses to be started, etc.; the proposed short and long term program objectives to be achieved as a result of your proposed activities; the tangible and measurable impacts your work program will have on the community in general and the target area or population in particular; and the relationship of your proposed activities to other on-going or proposed efforts to improve the economic, social, or living environment in the target area.

Your work plan must describe the timing of all activities you will undertake and complete under your grant. You should describe the products you will deliver in 6 month intervals, up to 24 months and indicate which staff described in your response to Factor 1 will be responsible and accountable for the deliverables.

(c) *HUD Priorities*. (5 points) The extent to which your proposed application will further and support the policy priorities of HUD including:

- (i) Promoting healthy homes;
- (ii) Enhancing on-going efforts to eliminate drugs and crime from neighborhoods through program policy efforts such as "one Strike and You Are Out" or the "Officer Next Door" initiative; and

- (iii) Providing educational, job training, and homeownership opportunities through such initiatives as Neighborhood Networks and Campus of Learners, and linking programs to Americorps activities.

The *Healthy Homes* initiative implements a series of initiatives to protect children from home hazards such as lead-based paint, radon, fires and accidents around the home.

The *Neighborhood Networks* (NN) initiative enhances the self-sufficiency, employability, and economic self-reliance of low-income families and the elderly living in HUD-insured and HUD-assisted properties by providing such residents with on-site access to computer and training resources.

The *Campus of Learners* (COL) initiative is designed to transform public housing into safe and livable communities where families undertake training in new telecommunications and computer technology and partake in educational opportunities and job training initiatives.

(2) *Institutionalization of Project Activities* (10 Points). The extent to which your project will result in the kinds of activities being proposed sustained by becoming part of the mission of your institution. HUD will look at your commitment to continuing to work in the target area or other similar areas and to your longer term commitment of hard dollars to similar work.

(3) *Affirmatively Furthering Fair Housing* (5 Points). Activities to affirmatively further fair housing, for example:

- (a) Overcoming impediments to fair housing, such as discrimination in the sale or rental of housing or in advertising, provision of brokerage services, or lending;

- (b) Promoting fair housing through the expansion of homeownership opportunities and improved quality of services for minorities, families with children, and persons with disabilities; or

- (c) providing mobility counseling.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to secure community resources which can be combined with HUD program funds to assist HBCUs expand their role and effectiveness in addressing community development needs in their localities, including neighborhood revitalization, housing, and economic development.

In evaluating this factor, HUD will consider the extent to which you have established partnerships with other entities to secure additional resources to increase the effectiveness of your proposed activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated solely to the purpose(s) of the award you are seeking.

Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities. You may also establish partnerships with other program funding recipients to coordinate the use of resources in the target area.

You must provide letters or other documentation evidencing the extent and firmness of commitments of a match from other Federal (e.g., Americorps Programs), State, local, and/or private sources (including your own resources). These commitment letters or documents must be dated *no earlier* than the date of this published SuperNOFA. If you have evidence in support of your proposed match commitment, you are eligible for more rating points than applicants who do not have a *firm commitment* for a match.

The maximum number of rating points you can receive for leveraging is 10 points. HUD will award a higher number of points for a CASH match than in-kind goods or services of the same value. To be recognized as leveraging, contributions must be made available for performance of pertinent grant activity(ies). If you do not have evidence of leveraging, you will receive zero (0) points for this Factor.

#### Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which you have coordinated your activities with other known organizations, participate or promote participation in your community's Consolidated Planning process, and are working towards addressing a need in a holistic and comprehensive manner through linkages with other activities in the community. For specific information about your locality's planning process, contact the local or State Community Development Agency or the local HUD Field Office.

In evaluating this factor, HUD will consider the extent to which you demonstrate you have:

(1) (4 points) Coordinated your proposed activities with those of other groups or organizations before submission in order to best complement, support and coordinate all known activities, and if funded, the specific steps you will take to share information on solutions and outcomes with others. You should describe any written agreements, memoranda of understanding in place, or that will be in place after award.

(2) (3 points) Taken or will take specific steps to become active in the community's Consolidated Planning

process (including the Analysis of Impediments to Fair Housing Choice) established to identify and address a need/problem that is related to your proposed activities.

(3) (3 points) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

- (a) Other HUD-funded projects/activities outside the scope of those covered by the Consolidated Plan; and
- (b) Other Federal, State or locally funded activities, including those proposed or on-going in the community.

#### VI. Application Submission Requirements

You must complete and submit your application for an HBCU grant in accordance with instructions contained in the University and College Programs Application Kit for 1999. The application kit will request information in sufficient detail for HUD to determine whether your proposed activities are feasible and meet all the requirements of applicable statutes, regulations, and this SuperNOFA for the HBCU Program. Following is a list of items required for your HBCU application:

(A) *Transmittal Letter*. A transmittal letter must accompany your application. Your cover letter must be signed by the *Chief Executive Officer* (usually the President or Provost) of your institution. If the Chief Executive Officer has delegated this responsibility to another official, that person may sign, but a copy of the delegation must also be included.

(B) *Application Checklist*.

(C) *Abstract/Executive Summary* (one page limit) describing the goals and activities of your project.

(D) *Budget Document* The budget presentation must be consistent with the Work Plan and the Standard Form (SF) 424. Your budget submission must include: (1) a budget summary covering the Federal and non-Federal share of the costs proposed by cost category. You should pay particular attention to accurately estimating costs, determining the necessity for and reasonableness of costs; and correctly computing all budget items and totals. Indirect costs must be substantiated and approved by the cognizant Federal agency or you must provide an indirect cost rate plan. The indirect cost rate should be indicated in your budget; (2) a budget justification, which should be a narrative statement indicating how you arrived at your costs. When possible, you should use quotes from vendors or historical data. You must support all direct labor and salaries with mandated

city/state pay scales or other documentation; and (3) a budget-by-task which includes a listing of tasks to be completed for each activity needed to implement the program, the overall costs for each task, and the cost for each funding source.

You must submit reasonable cost estimates supplied by a qualified entity other than yourself if you are proposing to do any of the following: rehabilitation of residential, commercial *and/or* industrial structures; and/or acquisition, construction, or installation of public facilities and improvements. The supplier of cost estimates must be involved in the business of housing rehabilitation, construction and/or management. You may obtain guidance for securing these estimates from the CPD Director in the HUD field office or the local government. A format for the budget summary and the budget-by-task is included in the application kit.

(E) *Narrative Statement Responding To The Factors For Award* (25 page limit, including tables and maps, but not including firm commitment letters, the performance narrative and progress reports). The narrative should be numbered in accordance with each factor and subfactor.

(F) *Certifications*. All certification forms must be signed by the Chief Executive Officer of your organization.

HUD will not consider appendices to an application. You must submit your documentation, including firm commitment letters, the performance narrative and progress reports, with your responses to the pertinent factors in order to receive points for it.

#### VII. Corrections to Deficient Applications

The General Section of the SuperNOFA provides the procedures for corrections to deficient applications.

#### VIII. Environmental Review

If you propose activities (such as physical development activities) that are not excluded from environmental review under 24 CFR 50.19(b), an environmental review by HUD staff is required in accordance with 24 CFR part 50, as indicated by 24 CFR 570.404(i), before HUD approves the proposal (i.e., releases CDBG funds). Before any HUD grant funds are released, environmental approval must be secured. If the requirements of part 50 are not met, HUD reserves the right to terminate all or portions of the award. You are not authorized to proceed with any activity requiring approval until written approval is received from the appropriate HUD Field Environmental Clearance Officer in your area certifying